

GRANT MANAGEMENT SOLUTIONS

Annual Report

Project Year 1 | October 1, 2012—September 30, 2013

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ACRONYMS AND ABBREVIATIONS

CAR	Central African Republic
CCM	country coordinating mechanism
COR	Contracts Officer Representative
DRC	Democratic Republic of the Congo
FEI	<i>France Expertise Internationale</i>
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
Global Fund	Global Fund to Fight AIDS, Tuberculosis and Malaria
GMS	Grant Management Solutions
IMS	Information Management System
IQC	indefinite quantity contract
LAC	Latin America and the Caribbean
LAO PDR	LAO People's Democratic Republic
LFA	Local Fund Agent
LMG	Leadership, Management and Governance
MENA	Middle East and North Africa
MOF	ministry of finance
M&E	monitoring and evaluation
MSH	Management Sciences for Health
NFM	new funding model
OGAC	Global Fund to Fight AIDS, Tuberculosis and Malaria
PEPFAR	The United States President's Emergency Plan for AIDS Relief
PMP	Performance Monitoring Plan
PR	principal recipient
PRM	principal recipient management
PSI	Population Services International
PSM	procurement and supply management
PY	project year
RPCAT	Regional Partner Capacity Assessment Tool
SOP	standard operating procedures
SR	subrecipient
the Alliance	International HIV/AIDS Alliance
TSAP	Technical Support Advisory Panel
USAID	United States Agency for International Development
USG	U.S. government

EXECUTIVE SUMMARY

Grant Management Solutions (GMS) has successfully completed project year 1 (PY1) of its second contract; the current phase of GMS began on October 1, 2012, under USAID contract number AID-OAA-C-12-00040. GMS is the principal mechanism through which the United States Government provides governance and management technical support to beneficiaries of the Global Fund to Fight AIDS, Tuberculosis and Malaria (Global Fund). A partnership of 26 international and regional institutions led by Management Sciences for Health, an American nongovernmental organization based in Arlington, Virginia, carries out GMS.

This summary highlights GMS's work in its three objectives and in areas that cut across all three objectives. The highlights are discussed in more detail in the report.

Objective 1. Provide urgent, short-term technical support in governance and oversight, grants management, procurement and supply management, and monitoring and evaluation to the 140 countries and regions benefitting from Global Fund support.¹ In addition, as authorized by the U.S. government, GMS provides a limited amount of medium- and long-term assistance.

Objective 2. Develop capacity of twelve regional entities and a network of individual consultants to provide high-quality technical support in these same areas.

Objective 3. Disseminate to other Global Fund technical support partners through documentation, electronic platforms and face-to-face forums, practices, lessons learned, tools and methodologies GMS has found to be effective in providing technical support to Global Fund beneficiaries

Regarding objective 1, as of September 30, 2013, GMS had received a total of 42 assignments from 36 countries and two regions, representing all Global Fund country groups². Twenty-five of these assignments (58%) were requests for country coordinating mechanism (CCM) support, 17 (37%) were for principal recipients (PRs) and their subrecipients (SRs); one request covered both a CCM and its PRs; one was for the African Delegations to the Global Fund Board. Work with CCMs affected 100 Global Fund grants, whose collective signed value was \$3.5 billion (21% of the total portfolio value) while work with PRs affected 20 grants with committed funds of \$840 million (5% of the portfolio). Three assignments were canceled during the year because of security issues in-country or changes in Global Fund decisions about grants.

Early results are available from the sixteen assignments completed in PY1 including two for which follow-up at six months has been completed. Highlights include the following:

¹ Subject to the approval of the USG, GMS support is available to all countries and governing bodies (except those on the U.S. Department of State's list of state sponsors of terrorism (www.state.gov/j/ct/list/c14151.htm))

² Seven of these assignments were requested by USAID missions for CCMs and PRs through field-support funds.

- ✓ Six CCMs that received GMS support have new or updated governance and procedural documents
- ✓ Three CCMs have updated oversight plans
- ✓ Six PR clients have completed all presignature requirements for ongoing grant funding
- ✓ Five PRs and SRs have new organizational structures and procedures for managing Global Fund grants
- ✓ 900 individuals, for the most part CCM members and staff, have received orientation to their roles and responsibilities, as well as introductions to the Global Fund's new funding mode, or NFM
- ✓ Eighty percent of the 204 GMS deliverables have been validated by the CCM or PR client.

Outcomes for these assignments will be available next year.

Under objective 2, the GMS contract requires a two-phased approach to developing the capacity of regional consulting entities to provide technical support not funded by the government of the United States (USG). GMS first targeted a first group of six regional consulting entities from six Global Fund regions.³ Each entity was matched with a larger GMS partner institution as mentor to carry out institutional diagnosis, business planning and capacity building. To respond to new opportunities for non-USG technical support, GMS has refocused the approach on strategic business analysis and business strengthening, which will enable the regional entities to respond more quickly and effectively to these opportunities and propose innovative services of their own.

For individual consultants, GMS established its consultant certification process for team members and team leaders based on nine competency areas of information, skills and approaches. Certification requirements include training and successful performance in GMS teams: 77 consultants from the first contract for GMS (2007-12) were certified as team members and 25 as team leaders. GMS also enhanced the training approach developed in the first phase by creating a blended learning process of virtual and face-to-face training: 88 consultants completed the consultant orientation, while an additional 14 consultants attended specialty training in procurement and supply management and 21 team leaders attended refresher training. Virtual modules for continuing education are under development.

GMS targeted and reached an audience of GMS consultants and partner organizations in PY1, under objective 3, with the vision of branching out to audiences in the even wider community involved in Global Fund technical support in subsequent years. Delivery to these audiences was achieved by employing electronic platforms for knowledge dissemination including GoToMeeting, Moodle, the GMS website and social media; more traditional means were also used, including consultant orientations and documents available online (GMS extranet and e-

³ ALMACO (Kenya), Curatio Foundation (Georgia), Fundación Plenitud (Dominican Republic), OASYS (Senegal), Q Partnership (Zimbabwe), TAI (Bangladesh).

mail) to consultants and GMS partners. Among other interventions, six webinars on the NFM (four in English, one in French, one in Spanish) were carried out for 95 participants around the world. Using LinkedIn, two moderated forums were established for GMS—one for partners to discuss Objective 2 capacity-development activities, and the other for consultants to exchange information on their technical-support experiences.

As part of its mandate for leadership in high-quality technical support, GMS promoted use of a common logic model for measuring results of technical support for Global Fund issues. Discussions on such a model are underway with the Global Fund Secretariat, *France Expertise Internationale* (who manages the French 5% Initiative) and the German BACKUP Initiative of *Gesellschaft für Internationale Zusammenarbeit* (GIZ), as well as with a number of USAID projects.

GMS proceeded with development of two new tools to improve management and governance. In collaboration with the Global Fund Secretariat and the German software giant SAP, GMS began design of a PR management dashboard for Global Fund grants. This dashboard, more sophisticated than the CCM dashboard (released on the Global Fund's website in February 2010), will display PR and SR results for more than 40 indicators. Second, to improve planning of country-level responses to the NFM, GMS has developed a tool called *New Funding Model Scheduler*, which is under discussion with the Global Fund Secretariat. Both the PR management dashboard and *New Funding Model Scheduler* will become available in PY2.

GMS also achieved certain goals in PY1 that cut across all three of its objectives. A salient feature of GMS is its emphasis on collection and dissemination of information for day-to-day operations. The new GMS information management system launched its first element in January 2013, allowing GMS to improve GMS's operations, and provide timely information on technical support assignments to the USG.

As part of the Global Fund community, GMS has partnered with other technical stakeholders to contribute peer review and ideas for implementing the NFM. GMS collaborated with AIDSPAN and the South Asia hub of the International HIV/AIDS Alliance on guidelines for SR management and CCM governance. GMS also participated in the UNAIDS Technical Support Consultation, proposing a common performance logic model and quality standards for technical support. Through these cross-cutting opportunities drawing on all three objectives, GMS's work pursues the mission of the entire project to improve performance of Global Fund grants through more effective management and governance.

INTRODUCTION

1. Introduction to Grant Management Solutions

Grant Management Solutions (GMS) is delighted to present the first annual report of the second GMS contract. The first phase of GMS (GMS1) ended on 30 September 2012; the second phase⁴ began the next day on October 1, 2012, and continues until September 30, 2015, with the possibility of two additional years until 2017. This report summarizes the activities of the start-up year in response to the expansion of GMS's scope of work as compared to that of GMS1, the administrative changes in the project, the technical challenges of the evolving landscape in which the Global Fund to Fight AIDS, Tuberculosis and Malaria (Global Fund) functions, and the initial information about the immediate results of the work to date.

The U.S. Congress provides the Office of the U.S. Global AIDS Coordinator (OGAC) the discretion to use up to 5% of the State and Foreign Operations appropriations for the Global Fund to provide Global Fund technical support. Both phases of the GMS project have been funded through a portion of this set-aside. In addition, the second phase of GMS may receive funds obligated through local and regional USAID missions ("field support funds"). The current phase of GMS was awarded on 30 September 2012, under USAID contract number AID-OAA-C-12-00040.

GMS is executed by Management Sciences for Health (MSH) and 25 partners. They include MSH's six largest partners, or "Tier 1 partners": Abt Associates; Futures Group; International HIV/AIDS Alliance (the Alliance); MIDEGO Inc.; PACT; and Training Resources Group. The first of two waves of six regional entities (and their headquarter countries), or "Tier 2 partners," comprise ALMACO Ltd. (Republic of Kenya); Curatio Foundation (Georgia); OASYS Financial and Management Services (Republic of Senegal); Q Partnership (Republic of Zimbabwe); Fundación Plenitud (Dominican Republic); and Technical Support Inc. (People's Republic of Bangladesh). Thirteen additional subcontractors, or "Tier 3 partners", round out the 25: AIDS Projects Management Group, or APMG (Commonwealth of Australia); Catalyst Management Services Pvt. Ltd. (Republic of India); Euro Health Group A/S (Kingdom of Denmark); Global Challenge Corporation (Republic of Côte d'Ivoire); Health & Development Africa Pty. Ltd. (Republic of South Africa); Innovative Development Expertise & Advisory Services Inc (IDEAS) (US); International Program Assistance Inc., or IPA (US); Institute for Research, Socio-economic Development and Communication, or IRESCO, (Republic of Cameroon); Khulisa Management Services Pty Ltd (South Africa); LMI (US), ResultsInHealth (RiH) (Kingdom of the Netherlands); SCM Advantage LLC (US), and zeGOgroup (French Republic).

⁴ Throughout this report, the name "Grant Management Solutions" and its associated acronym, "GMS," both refer to the project that under contract number AID-OAA-C-12-00040, which began on October 1, 2012. The term "GMS1" refers to the project under an earlier, now fully executed, contract with the same name of "Grant Management Solutions," which ran through September 30, 2012.

GMS has three objectives. Objective 1 (65-80% of GMS's work) is to provide short-term technical support to Global Fund country coordinating mechanisms (CCMs) and principal recipients (PRs) to unblock bottlenecks and resolve systemic problems that hinder a country's response to HIV/AIDS, tuberculosis and malaria (Objective 1). During PY1, this objective was expanded to go beyond urgent short-term technical support to include a limited amount of medium- and long-term technical support. This expanded scope is designed to give the government of the United States (USG) greater flexibility in addressing Global Fund technical support needs.

GMS provides Objective 1 support in four technical areas: (1) governance and oversight by CCMs, (2) grant and financial management for PRs and subrecipients (SRs), (3) procurement and supply management (PSM), and (4) monitoring and evaluation (M&E), and reporting. GMS may provide technical support for the country dialogue and grant making phases of the Global Fund's new funding model (NFM); however, just as GMS1 did not support proposal development, GMS does not support the preparation of concept notes. Subject to the approval of the USG, GMS support is available to all countries and governing bodies (except those on the U.S. Department of State's list of state sponsors of terrorism) that receive grants from the Global Fund.

Under its second objective (15-30% of GMS's work), GMS builds the capacity of local and regional entities on the one hand and of individual consultants on the other hand to provide management and governance technical support including and beyond the GMS scope (Objective 2). Twelve regional entities will receive management and technical strengthening to respond effectively to (non-GMS) Global Fund technical support opportunities that arise through direct CCM and PR contracting, bilateral donor and Global Fund Secretariat tenders. Individual consultants from all GMS partners will have the opportunity to strengthen their knowledge and skills through blended learning events and technical oversight of team work—already begun in PY1—and to then obtain certification at the “Team Member” or “Team Leader” capacity levels. Certification will be maintained through continuing education and satisfactory completion of additional assignments.

Under its third objective (5% of the project), GMS takes a leadership role in developing and disseminating management and governance-related best practices, tools, lessons, and approaches in Global Fund technical support to other technical support providers through documentation (paper and electronic) and use of electronic platforms (Objective 3).

The total (second phase) represents \$99,937,177. During project year 1 (PY1), \$ 22 million were obligated--\$20.7 million from core (USAID Washington) funds and \$1.3 million from field support funds from local and regional USAID missions. As of September 30, 2013, GMS had cumulative expenditures and commitments of \$ 18.1 million.

2. The Evolving Global Fund Environment

The Global Fund environment in 2013 is considerably different from that of 2007 when the USAID released the first tender for “Global Fund TS,” or Global Fund Technical Support, and the contract was awarded to MSH and its then partners for the project named Grant Management Solutions (GMS1). The environment today is different still from that of 2011 when the second-phase tender for Global Fund TS appeared:

- The ongoing Global Fund reforms have not only reorganized the Global Fund Secretariat into new regional groupings emphasizing disease burden and size of grant portfolios staffed by country teams responsible for single countries or small groups of counties, but have profoundly modified the grant making process. The NFM prioritizes high burden, low resource countries aiming to improve access to a continuous stream of funding through three-yearly cycles closely attached to national disease strategies. The role of CCMs as leaders of the country dialogue and coordinators of the concept-note process becomes more tightly linked to measures of governance performance. The new grant making phase of the NFM aims to produce “implementation ready grants” by the signature deadline, solving many of the implementation bottlenecks that plagued early grants. Introduction of this ambitious new model will continue through 2015 and beyond.
- The number and type of technical support providers has changed. In 2007, technical support was provided largely by UN agencies—Stop TB, Roll Back Malaria, UNAIDS and its Technical Support Facilities—and GMS1. In 2013, the French 5% Initiative, managed by *France Expertise Internationale* (FEI), and the German BACKUP Initiative (under *Gesellschaft für Internationale Zusammenarbeit*) have become significant sources of technical support. The Alliance also works with both BACKUP and GMS while the Global Fund aims to track and organize technical support for countries with little access to assistance.
- Since the USG’s reauthorization of PEPFAR in 2008 and most notably since the NFM, the USG has tightened the links between PEPFAR and Global Fund activities. Starting in 2013, more USAID projects have been tasked with Global Fund support and roles defined for them at various points in the NFM. The USG has stated it may make available longer term technical support for Global Fund beneficiaries to help them with issues and challenges for which short-term technical support has proved insufficient. Furthermore, the USG now prioritizes high disease- burden and low-resource countries and certain countries with high-risk groups for certain diseases (with most-at-risk populations) more intensely, and de-emphasizes support to low burden, higher resource countries with smaller portfolios of Global Fund grants addressing HIV/AIDS, tuberculosis, malaria.

This modified environment changes the type and timing of work required of GMS and the conditions under which GMS works. The entry of new technical support agencies creates a much-needed community of practice for Global Fund technical support. GMS appreciates and actively contributes to the fruitful and collegial dialogue that has begun—around a common results framework for technical support, in particular—as well as the opportunity to liaise with others around longer term support.

The introduction of the NFM has increased the complexity for GMS of situating itself within the landscape of technical support providers serving Global Fund beneficiaries, especially as GMS aims also to position its regional partners to respond to the new opportunities the NFM creates (see Objective 2 above). In PY1, GMS has worked hard to stay abreast of the NFM as it evolves and to devise rapid, cost-effective methods for updating the GMS consultant network. It is clear that the NFM requires new and refocused tools and approaches: GMS has a role in creating them.

3. Technical Support to Results: The GMS Logic Models

3.1. Logic models for GMS

Defining a logic model for how both technical support outputs (GMS “deliverables”) under Objective 1 and capacity strengthening under Objective 2 link to management and governance outcomes and ultimately to grant performance and health impact is a vital activity within GMS’s measurement system. Therefore, GMS has developed logic models for both Objective 1 (see Figure 1a) and Objective 2 (see figure 1b). These two logic models are the basis for results analysis in GMS.

3.2. Logic model for GMS technical support | Objective 1

Each GMS team is expected to formulate with the CCM or PR requesting its technical support the set of deliverables required to address the urgent issues affecting the CCM or PR. Each deliverable should lead to an immediate result within six months after the end of the assignment (usually, end of assignment is defined as the end of the international team’s last trip in-country), and an intermediate result to be achieved within 12 months after the end of assignment.

CCMs and PRs that adopt and integrate GMS deliverables and new methods into their everyday functioning can be expected to demonstrate systemic behavior changes. It has been GMS’s observation that, beyond immediate and intermediate results, PRs and CCMs who employ more effective management and governance behaviors enjoy higher grant performance ratings (these ratings are given by the Global Fund Secretariat.) Grant ratings integrate scores for the programmatic performance of a grant and the quality of the grant management. Since the grant rating summarizes grant performance, it is the key impact indicator for GMS.

From grant performance, the logic model for Objective 1 leads to system-wide effects and ultimately to health impact, the ultimate goal of Global Fund grants. Although GMS supports disease-specific programs, the manner in which PRs implement their activities may have effects on the wider health or governance system: such effects need to be anticipated, so that steps may be taken to mitigate negative effects and enhance positive ones.

Finally, although the ultimate goal of any health program is health impact, achieving impact cannot be attributed directly to technical support. While health outcome and impact indicators are tracked by the grants, GMS does not capture that data since they belong to the broader group of implementers.

While immediate and intermediate results are linked to a deliverable, grant performance and systemwide effects are linked to an assignment. The grant rating as well as many immediate and intermediate results are indicators within GMS's *Performance Monitoring Plan (PMP)*, required by USAID. Both the logic model for Objective 1 and the indicators in the PMP could be used by any technical agency providing support to Global Fund implementers.

3.3. Logic model for GMS capacity building of regional partners | Objective 2

The logic model for capacity building under Objective 2 resembles the one for Objective 1, although it is based on an assumption upstream from deliverables that increased technical support capacity will lead to successful responses to non-GMS business opportunities to provide technical support to CCMs, PRs, and other Global Fund clients. It then follows that these opportunities will produce deliverables that link to results, grant performance, systemwide effects and health impact in the same way as do GMS assignments (under Objective 1) and those of other technical support providers.

Figure 1a. Logic model for GMS technical support | Objective 1

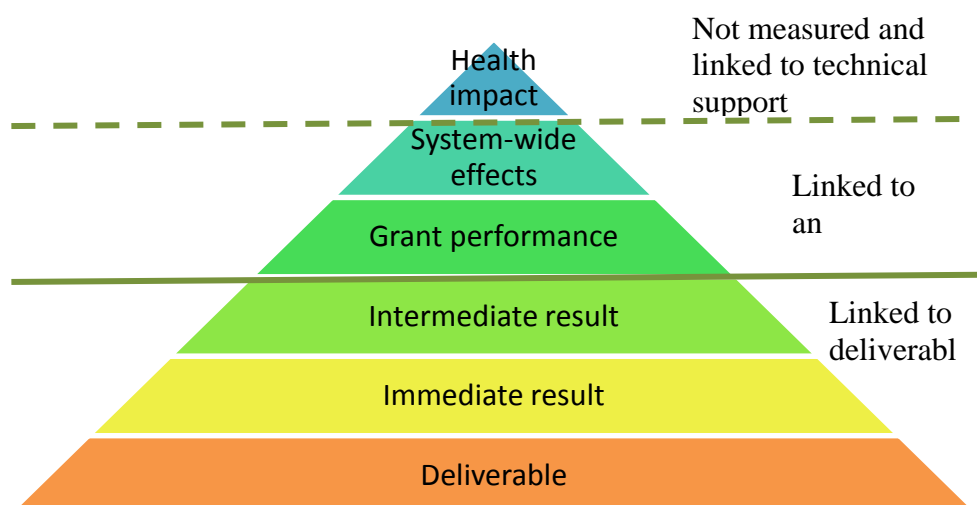
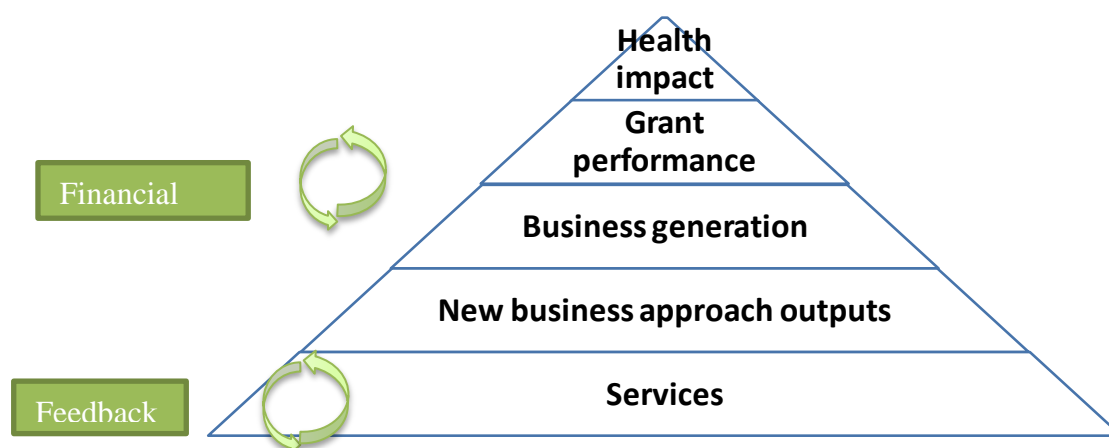


Figure 1b. Logic model of Objective 2: GMS capacity building of regional partners



3.4. Project Year Start-Up

Starting the day after the end of GMS1, the second phase of GMS launched a rapid start-up to put in place new staff and new systems to consolidate and extend the innovative approaches developed in GMS1 and carried over to GMS's Objective 1 and build the two additional objectives. By the end of the first quarter, all project launch activities were complete, forty additional consultants had attended a first consultants' orientation and the first three Objective 1 teams were in the field.

By the end of the second quarter, 13 teams were in the field. Wave 1 regional partners were developing their diagnostics and business plans with their Tier 1 mentors. The off-line version of the new trip reporting system—part of the design of the GMS information management system (GMS-IMS)—along with careful training of consultants and a streamlined in-house editing process, were all contributing to GMS's ability to produce easy-to-read and meaningful trip reports by the post-visit reporting deadline (generally 10 days). GMS-IMS also reflects GMS's logic models, and can be routinely consulted for updates on GMS's performance against indicators.

By the end of the third quarter, 28 technical-support teams were active. An additional 41 consultants had been trained with a new virtual introductory course followed by an experiential orientation to GMS skills and methods (boot camp 2). Twenty PSM specialists had attended extra training, and seventeen team leaders were oriented to the NFM and GMS; 85 consultants had participated in English, French and Spanish webinars about the NFM. Following approval of the Consultants Certification Policy in April 2013, 80 consultants and 26 team leaders from GMS1 were grandfathered into the new system and certified. Collaboration was underway for GMS, the German information technology giant SAP, and the Global Fund Secretariat to jointly design a grant dashboard for PRs and SRs.

By the end of PY1, GMS had received 42 technical support assignments, of which seven were funded through USAID mission field support funds: 16 had been completed and three canceled due to Global Fund decisions or national events. The online trip reporting system was fully functional, producing trip reports within the deadline, tracking data for the Global Fund Secretariat, and producing monthly cumulative project results for USAID. The strategy for strengthening regional partner entities had been updated to take into account the evolving opportunities for non-GMS technical support assignments with the help of Tier 1 and Wave 1 partners. All six Wave 1 partners had responded to the Global Fund's most recent technical support IQC tender (see part 2, section 2.4 of this report). Design of the new PR dashboard had reached the test phase; the collaboration memorandum of understanding was about to be signed. GMS had provided support on technical support strategy, performance tracking, and results analysis to two USAID technical support projects and two non-US bilateral agencies: a common results framework was under discussion. At the end of PY1, GMS is poised to scale up technical support, regional capacity, and access to focused, effective practices.

GMS1 was often described as a “fire station” or “emergency room” for Global Fund PRs and CCMs. In this second phase, GMS becomes a Global Fund “teaching hospital,” continuing to address urgent problems while defining standards, inventing methodology, and transferring skills to others to expand access to high quality timely, results-oriented technical support worldwide.

ART ONE. GMS OBJECTIVE 1—URGENT TECHNICAL SUPPORT

1. Introduction to Objective 1

Providing urgent technical support for management and governance issues continues to be GMS's principal objective. Through Objective 1, USAID has two mechanisms in place that allow CCMs, PRs and USAID missions to access technical support from GMS. In a large majority of cases, CCMs and PRs submit technical support requests directly to OGAC. OGAC organizes its review and eventual approval or rejection by a technical support advisory panel (TSAP) of which USAID is a member for financing through core funds. USAID/Washington then forwards OGAC's decisions to the requesting CCM or PR, and, when requests have been approved, to GMS for action. In a small percentage of cases, USAID/Washington and USG missions discuss a request to use mission-controlled field support funds to finance GMS work, then develop a preliminary scope of work. USAID/Washington keeps GMS informed of the progress of mission field support discussions, engaging GMS technical managers in the review and occasionally in the development of scopes of work and budgets. Field support assignments begin once USAID/Washington modifies the GMS contract to add mission funds to the project.

Following approval through either channel, GMS then provides short-term management-related technical support to a CCM or a PR through a team of two to four international, regional and national consultants. GMS assignments, which usually take place over three in-country visits, provide up to 90-days of in-country assistance by the regional and international consultants and between 50 and 60 days of technical support by national consultants. These ceilings allow GMS to focus interventions on urgent priorities for which results can be achieved

within short time frames. The ceilings can be adjusted depending on the request OGAC receives, on priorities in-country that USAID identifies in the review process prior to the TSAP's approval, and on needs GMS identifies once an assignment is underway.

Following a contract modification in August 2013, GMS was authorized to accept assignments beyond these ceilings, so as to provide "medium- to long-term technical support.../...on a more limited basis." For issues requiring medium- to long-term support, GMS will complete a diagnosis and recommend the type and level of assistance needed to address issues. GMS anticipates that most of its medium- and long-term technical support (none was commenced in PY1) will be provided by consultants based in the country or in the region. The intent of this modification is to provide USAID and OGAC with greater flexibility to address emerging Global Fund issues.

2. Demand for GMS technical support: analysis of PY1 task orders

As a demand-driven USG-funded mechanism, GMS plans for a total of 240 assignments, estimated at 60 per year over the first four years of the project. During PY1, approved requests for GMS services fell below these projections by 30%.

2.1. Geographic distribution of assignments

As of September 30, 2013, GMS received a total of 42 assignments in respect of the 36 countries and the regions shown below in figure 2 and table 1, representing all Global Fund country groups. Nineteen percent of all assignments came from the Global Fund's new "High Impact" country groups, roughly equivalent to the 17% of all beneficiary countries in them.

Figure 2. Map of GMS PY1 countries



Table 1. PY1 GMS Countries and Regions (number if more than one assignment)

High Impact Asia	Central Africa	Eastern Europe/Central Asia	High Impact Africa 1	High Impact Africa 2
Bangladesh	Benin	Bosnia-Herzegovina	Congo (Democratic Republic of)	Tanzania (2)
		Central Asian Region (CAR), including 3 countries*	South Africa	Uganda
		Kyrgyzstan		Zambia
		Kazakhstan		Zanzibar (2)
		Tajikistan		
Latin American and Caribbean Region (LAC)	Middle East and North Africa (MENA)	Southeast Asia	East and Southern Africa	Western Africa
Dominican Republic	Central African Republic (2)	Laos	Lesotho	Cameroon
Guatemala (2)	Mauritania	Malaysia	Swaziland	Guinea
Guyana	Morocco (2)	Papua New Guinea		Mali
Haiti	South Sudan	Solomon Islands		Niger
Nicaragua	Tunisia	Timor-Leste		Senegal
El Salvador		Pacific Islands Region**		Chad

*CAR assignment includes three countries, each of which is counted separately and included in the total assignment: Kyrgyzstan, Kazakhstan and Tajikistan

**Pacific Islands Region concerns a regional multi-CCM for 12 countries; only the region has been included in the total of 42 assignments.

These 36 countries are ranked within the 177 countries in the Failed States Index, compiled annually by the Foreign Policy Group.⁵ This index provides a summary of 12 indicators of pressure on national governments affecting their ability to govern effectively and transparently. The distribution of countries where GMS worked in PY1 among these so-called failed states is illustrated in Figure 2. GMS served half of the 10 countries ranked lowest among in the Failed States Index and 26 (some one-third) of the lowest 75 countries. Thus, GMS assistance in management and government is being directed to those Global Fund CCMs and PRs functioning in extremely difficult national environments.

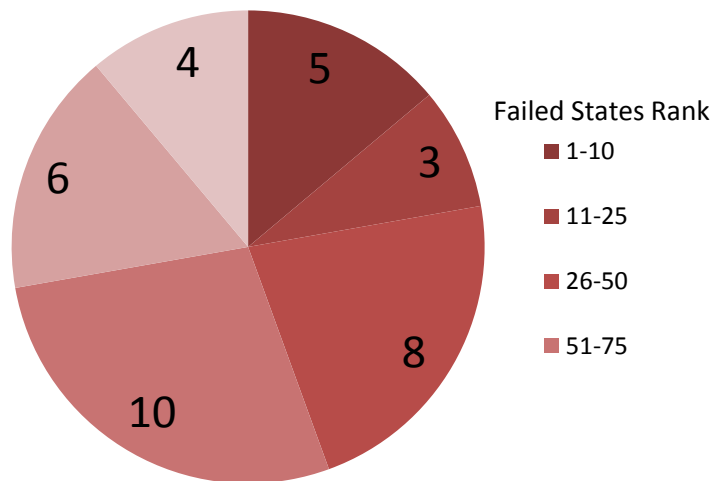
Of these 35 countries and two regions, seven⁶ have never before been served by GMS while 30 did receive support under GMS1. The time since the last assistance by GMS was about two

⁵ Source: Foreign Policy Group. The Failed States Index 2011. Washington, DC.
http://www.foreignpolicy.com/articles/2013/06/24/2013_failed_states_interactive_map

⁶ Dominican Republic, Guyana, Bosnia-Herzegovina, Western Pacific RCM, Niger, Chad

years for PR assignments (roughly the end of a grant phase) and three years for CCM assignments (roughly equivalent to the end of CCM membership mandate).

Figure 3. GMS Assignment Countries by Failed States Index Rank (2013)



2.2. Client characteristics by technical areas: evolving demand

Of the 42 assignments received in PY1, 25, or 60%, were requests for CCM support, 17, or 40%, were for PRs and their SRs, one request covered both CCM and PRs, and one was for the African Delegations to the Global Fund Board. The geographic distribution of these requests is as follows:

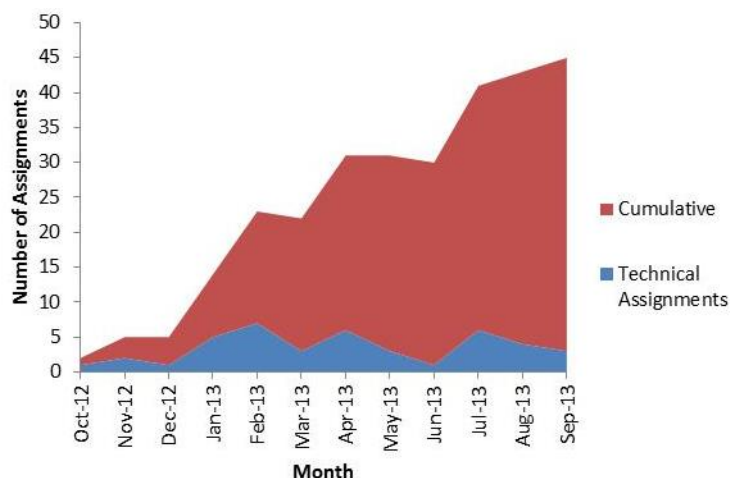
Table 2. GMS PY1 requests by technical area and Global Fund region

Region	Technical area		Other	Total
	CCM	PR		
High impact Asia	1			1
Central Africa	1			1
Eastern and Central Asia	4*			4
High impact Africa 1	2			2
High impact Africa 2	4	2		6
LAC	4	3	1 CCM & PR	8
MENA	4	3		7
South East Asia	3	3		6
Southern Africa	1	1		2
Western Africa	2	4		6
African delegations			1 governance	1
Total	26	16	1	44

*1 regional request covers 3 CCMs

In comparison, over the five years of GMS1, 35% of assignments supported CCMs (with ranges from 23% in PY1 and 42% in PY4), and 65%, PRs. GMS leadership has discussed the PY1 allocation between CCM and PR assignments to understand the factors behind the shift in demand from a majority of PR work in GMS1 to a majority of CCM work in GMS.

Figure 4. Approved request in PY1 by month



The Global Fund's NFM is the principal driver in the growth in demand for CCM support: for NFM awards, the Global Fund will apply more stringent standards in determining the eligibility and assessing the performance of CCMs than it did in the past. Under the NFM, a CCM must meet four of six eligibility requirements in order for the Global Fund to accept its NFM concept note. As well, the Global Fund will assess the performance of CCMs annually. Thus the high demand for GMS technical support from CCMs may be understood as reflecting a strategic choice for countries anticipating future NFM requirements and processes. GMS assumes that once concept notes are accepted, demand will shift to PR requests for support in the grant making phase.

In addition, there was an interruption in GMS services to CCMs and PRs from approximately March 2012 (six months before the end of GMS1) through October 1, 2012, when the second phase of GMS was awarded. During the interim, countries received services from other providers, and it has taken some time for clients to resume making requests to OGAC for GMS technical support. As an example, the first PR management (PRM) assignment in GMS, for presignature activities in Niger, was approved and forwarded to GMS in December 2012, nine months after GMS1 had stopped taking on assignments.

CCMs were quicker in submitting requests for GMS support once the new award was announced, for several reasons. As mentioned, some CCMs want to be ready to assume their responsibilities in guiding NFM processes and subsequently in overseeing new grants. Other CCMs seek continuation of GMS technical support either because their second phases of support were curtailed by the end of GMS1 or because they now more broadly define the scope of their need for technical support in governance and oversight. Finally, some CCMs undergo a regular cycle of membership renewal, and, with new members on board, want to make sure that GMS provides thorough orientation on current Global Fund guidelines and directives, including those on roles, responsibilities, core functions.

A final explanation for the shift in demand to CCMs: demand is spreading to an increasing number of technical support providers. For example, FEI now operates in 18 countries. In its

reports to the Global Fund, FEI indicated it had three CCM assignments in the first three quarters of 2013 and managed 27 PR assignments during the same period; the distribution of CCM and PR work in FEI’s portfolio may explain some of the reduction in demand for GMS PR services in those countries.

Nevertheless, GMS has received requests from 16 PRs. Usually, these requests concern management issues requiring two or three of the GMS technical areas of intervention (grants management (PR management), PSM, monitoring and evaluation (M&E)). There were however two assignments devoted exclusively to PSM. (See figure 4.)

A majority of the PRs requesting support are either ministries of health, ministries of finance or other government entities. Only 21% of PR clients are civil-society organizations, including a few private sector PRs. Figure 5 shows the distribution by type of PR.

Of particular importance to GMS is its ability to respond to requests in the six Global Fund languages and beyond. In PY1, OGAC received requests for the provision of technical support by GMS in English, French, Spanish and Russian (see figure 6) for which the project was able to provide teams proficient in these languages.

Figure 5. PY1 request by technical area

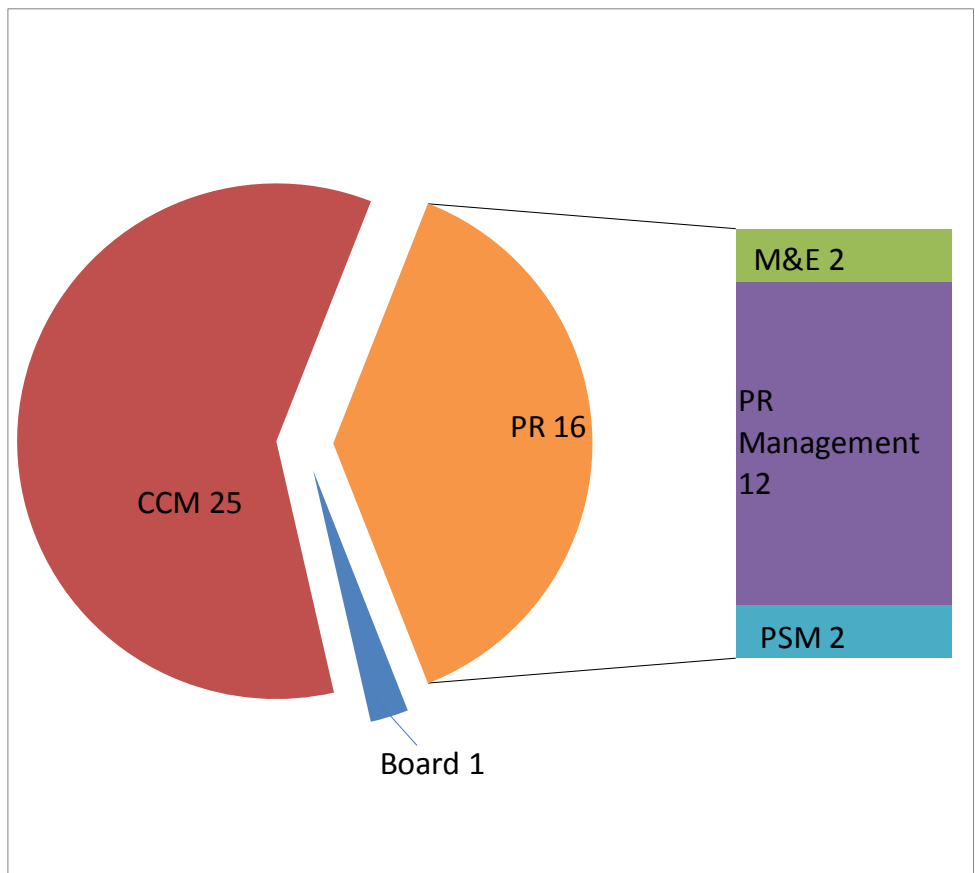


Figure 6. PY1 client PRs by type of entity

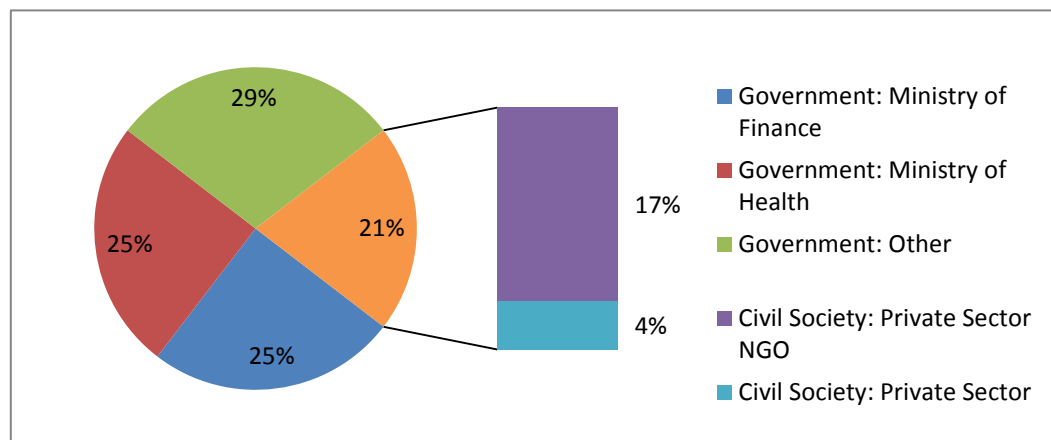
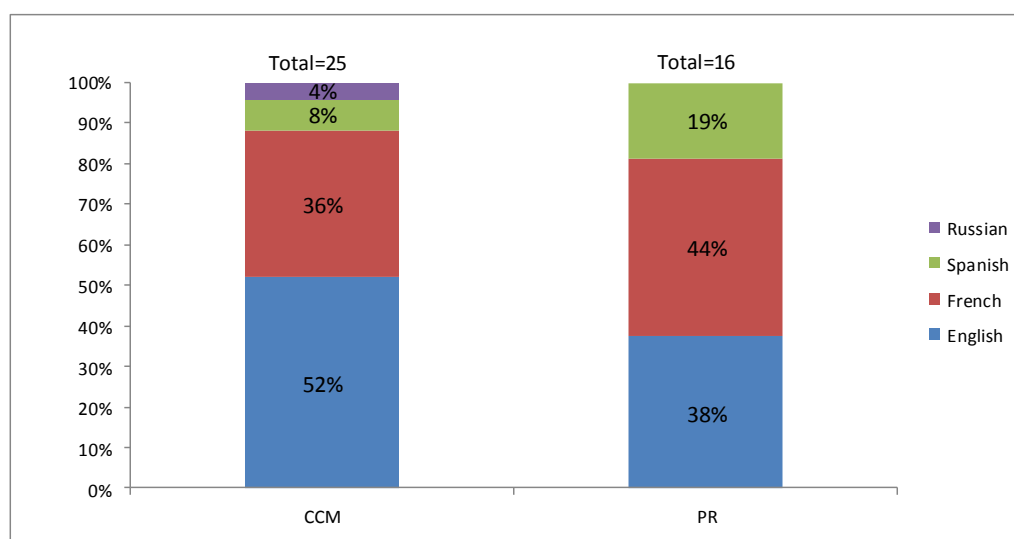


Figure 7. PY1 clients by language



2.1. Level of effort provided

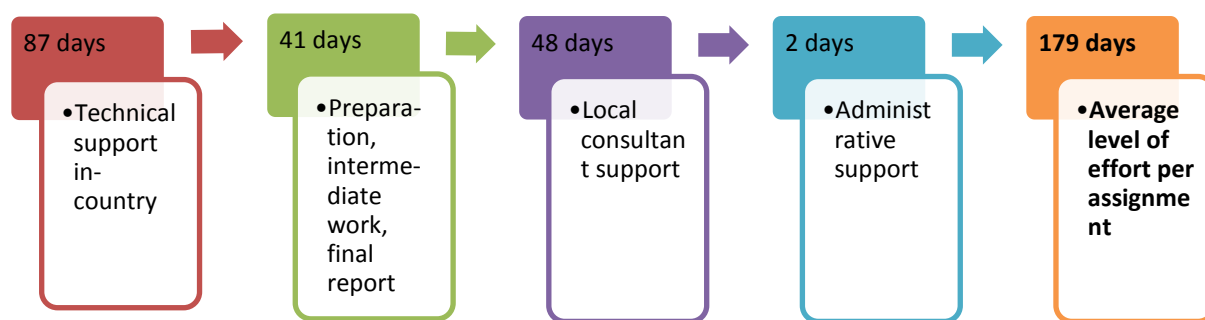
In response to these requests in PY1, GMS fielded 36 consultant teams including 122 regional and international consultants and 40 local consultants. The team for CCM-Lao People's Democratic Republic completed its work before PY1 ended; two assignments were suspended as a result of political issues in-country (CAR PR management and M&E); one was suspended as a result of discussions between the Global Fund and the country (CCM-Guatemala). Six other assignments (Republic of South Sudan, People's Republic of Bangladesh, Republic of Chad, El

Salvador, Kingdom of Swaziland and African Delegations), which were received towards the end of the fiscal year, will have first visits early in PY2 because of client scheduling preferences (these teams will be reflected in the PY2 annual report).

Eight of the international and regional consultants served on teams in their home countries, which shows the growing availability of high-quality local technical support: the entire Senegal PR management team (three persons); one CCM-Tunisia team member; one CCM-Morocco team member; the Kingdom of Morocco's PSM assignment team leader; one CCM-South Africa team member; and one CCM-Zanzibar team member.

GMS continues the practice under GMS1 to respond rapidly to urgent requests for technical support: the average time between a country's and GMS's receipt of the approved request and the first team visit in PY1 was 32 days. The quickest response was the CCM-Guyana assignment, with a five-day mobilization from receipt of approved request to departure of the team. The slowest was the assignment to assess CCM-Central Asian Republics, a field support activity: discussions of the scope of work began in December 2012 for a planned start in February 2013; work eventually started on May 15, 2013.

Figure 8. Average duration and level of effort of a GMS assignment in PY1



2.2. Field support assignments: special characteristics

In PY1, GMS received seven assignments (20%) funded through field support by USAID missions (all others were funded directly through GMS core funds). In theory, there should be few substantive differences between field support and core assignments, because missions are engaging GMS under an existing contract with a fairly prescriptive program. In fact, there are enough differences between core and field support assignments that the Objective 1 team conducted an internal assessment at the end of PY1 to identify lessons from its first field support assignments with a view to improving field support activities in PY2. The following findings were discussed in meetings with GMS's USAID contracts officer representative (COR), Laurel Rushton, and her team in September 2013. Communications are central to the success of field support assignments: between USAID/Washington and a mission, GMS and USAID/Washington, GMS and the mission, and eventually, GMS and the mission's CCM and/or PR client. Quality and clarity in the initial dialogue between the USAID COR and missions about

what GMS teams can and cannot do, and how fast GMS can react to a field support request, help set a productive tone for these assignments.

How fast GMS can respond is fundamental to its function as a rapid response mechanism. Unfortunately, field support assignments are not ideal vehicles for rapid flexible response to urgent requests because each such assignment, and any changes to its scope or budget, requires a modification to the GMS contract. Missions understand this. Indeed not a single PY1 field support request was designed to respond to an urgent CCM or PR issue.

Striking the right balance between its relationship with the client USAID mission and the targets of field support assignments—the same as for core-funded assignments, a CCM or PR—has been a delicate issue for GMS. The CCM or PR needs to take ownership of the technical support process for it to be effective. This is particularly critical in CCM governance assignments, where the level of engagement and the extent of “client” ownership define whether an assignment can achieve its intended results. In core-funded assignments, GMS directly facilitates the ownership process; in field support assignments, GMS, as an intermediary between a mission and a CCM or PR, is seen as an extension of the mission, and less as a provider of direct services to the national body. In PY2, GMS will build on its experience with its first field support assignments to ensure delivery of the same quality results as in core assignments.

3. Supporting CCMs

3.1. The evolving role of CCMs

The Global Fund reforms since 2011 have re-emphasized the role of CCMs as the leaders of “Country Dialogue” and development of concept notes under the NFM and of national oversight and accountability for awarded grants. In the past 12 months, the Global Fund has revised its country eligibility criteria and introduced minimum standards for CCM functioning. A CCM performance assessment tool is being introduced to help CCMs assess and improve their eligibility and functionality before submitting concept note; the goal is to ensure continuous Global Fund support of country programs.

As a result, country teams and fund portfolio managers have significantly increased and enriched their interactions with CCMs and CCM secretariats as instrumental and efficient. Global Fund country teams are conducting more frequent visits to CCMs, often scheduled to coincide with CCM meetings. They are also including CCMs consistently in communications with PRs and sharing management letters with the CCMs to create early opportunities for preventive oversight. In addition, country teams are seeking opportunities for short- and medium-term capacity building of CCMs.

Direct CCM assignments in PY1

Bangladesh
Benin
Bosnia-Herzegovina
Chad
Guatemala
Guyana
Haiti
Kyrgyzstan
Laos PDR
Mali
Mauritania
Morocco
Solomon Islands
South Africa
South Sudan
Swaziland
Timor-Leste
Tunisia
Zanzibar

3.2. CCM requests for GMS support in governance and oversight

In the first year of the second phase, GMS carried out 25 assignments with CCMs of which six were field support assignments (see section 3.3). Direct requests for CCM support came from the countries shown in Box x. Three major themes emerged from these assignments.

Bosnia-Herzegovina is one of several countries which will be transitioning out of Global Fund support due to its improving economic status. CCMs in such countries need to determine whether the CCM should be maintained post-Global Fund or whether there is another available governance mechanism that might take over the CCM responsibilities, especially its oversight function. GMS helps such CCMs explore which option would be more efficient and determine how to ensure the alternate mechanism's technical and financial sustainability in the medium term.

GMS worked with a second group of CCMs, including Benin and Laos, this year that were undergoing a complete governance renewal process. Since CCMs are representative bodies, renewal of membership and capacity building of new members is part of their cyclic process. Many CCMs seek to review their governing documents and ensure continued alignment with national priorities and with Global Fund requirements, at the same time as when they renew membership.

Still other requests for technical support came from CCMs GMS1 had serve—such as CCM-Haiti—that felt they had unfinished reform or oversight business to complete. These clients had initially requested very targeted support under GMS1 and had during this earlier support identified additional gaps and needs better dealt with by full CCM reform. Lao PDR is one such case, as described in the following box.

Box 1. Laos PDR Country Coordinating Mechanism: a transformational reform effort

CCM-Lao PDR received technical support from GMS1 in spring-2012. The CCM wanted tightly focused support to introduce grant dashboards for oversight. Although GMS consultants recognized during their diagnosis of the CCM that it was experiencing fundamental governance and oversight issues, the CCM questioned the diagnostic findings and proposed options for change. The CCM was not ready for reform

The GMS1 team preceded with dashboard development, working closely with the civil society, donor, and government constituencies represented in the CCM to clarify their roles in grant oversight and the broader importance of oversight in improving grant performance. While the CCM had expected that the dashboard could drive the oversight function alone, the GMS team explained that it is a visual tool useful in identifying where and when problems might occur. The dashboard could help the CCM better understand the big picture of grant implementation in Lao PDR but only the CCM could make take proactive preventive and corrective measures with the PR. Such efforts eventually whetted the CCM members' appetites to better understand their roles and responsibilities as representatives of their constituencies.

In October 2012, the CCM-Lao PDR requested another phase of GMS support, following on an intervention by an FEI team for CCM secretariat financing and civil society strengthening. Lao PDR's request was approved and became GMS's first assignment after under the new project. The GMS team used a collaborative approach to support CCM-Lao PDR's newly created reform task force to lead the comprehensive reform. Through coaching sessions, document revisions, and capacity-building work groups, GMS helped the CCM downsize and renew its membership, develop new CCM documentation including TORs for each CCM constituency, define and document

new committees, and select new CCM officers. Undergoing the sometimes painful and lengthy process of self-identification as members of a governing body, CCM members became proactive and engaged participants of the CCM processes. For the first time, the participation of civil society was outstanding, ensuring transparent and inclusive elections of representatives.

Last, the assignment for the Pacific Islands Regional Multi-Country Coordinating Mechanism (PIRMCCM), which oversees grants in twelve countries, was GMS's first regional effort and the first for work with a coordinating mechanism related to the NFM. The following box tells this story.

Box 2. the PIRMCCM: Supporting the shift to the NFM

During PY1 the Global Fund announced the process for the NFM and the staged transition program for its introduction. During 2013, nine "Early Applicants" and a larger but limited number of "Interim Applicant" countries (49) were invited to apply for funding for specific diseases and to test aspects of the new process prior to finalization and full implementation. Following the release of the final process in late 2013, all countries will be able to apply as "Standard Applicants".

The transition period meant that most countries have used the period covered by PY1 to review CCM eligibility as compliance will be a significant requirement under the NFM. Nonetheless, GMS was able to gain some insights into elements of the NFM through support to the PIRMCCM which had been invited to be an Interim Applicant. Interim Applicant grants are those where grants are received as supplements to or extensions of existing grants. This was a unique situation as, initially, a PR (PR) had not been identified, although the previous PR did subsequently return to the role.

A feature of the NFM grant making process experienced in the Pacific islands assignment was the much higher level of engagement of the Global Fund Country Team in the shaping of the planned grant. The greater engagement is intended to ensure success through the earlier detection and resolution of possible implementation impediments. The assignment revealed the crucial role of stakeholder involvement in the NFM grant making process, including technical support providers like GMS, to ensure that the process continues to be "country-led". To demonstrate adequate neutrality assuring all stakeholders of transparent decision making during this process, each step of the NFM must be overseen by a group delegated by the CCM. GMS teams are likely to continue to be requested to support CCMs reviewing their governance structures to ensure neutrality and effective management of conflict of interest

3.3. Field support assignments for CCMs

Six field support assignments were received in PY1 to provide support to CCMs: four focused on governance (Central Asian Republics, United Republic of Tanzania, Zanzibar, and Republic of Zambia), one on oversight dashboards (Democratic Republic of the Congo (DRC)), and one, the Dominican Republic, combines CCM and PR support.

In the Central Asian Republics and in Tanzania, the USAID missions chose to start CCM support with a GMS assessment to define follow-on interventions based on findings and options to be selected by the CCMs. Such assignments require development of capacity building plans or technical support strategies for up to two years. In some cases, follow-on assistance is provided by GMS, in other cases, by a different technical service provider.

CCM field support assignments in PY1

Central Asian Republics
(Kazakhstan, Kyrgyzstan, Tajikistan)
Democratic Republic of
Congo (DRC)
Dominican Republic
Tanzania
Zambia
Zanzibar

The concentration of technical support resources in **Tanzania and Zanzibar** has been a strategic investment by the USG mission to the United Republic of Tanzania. The CCMs of Tanzania and Zanzibar both needed urgent help when GMS started. Tanzania is the second largest recipient of Global Fund resources and a priority PEPFAR country; the Tanzania National Coordinating Mechanism (TNCM), once a model for leadership and oversight, needed to reform its structures, re-engage its members, and revive its oversight function for Tanzania mainland's Global Fund grants. On the mainland, the USG mission opted to finance one CCM assignment and one PR assignment (See section 4.2 below). On the federated islands, CCM-Zanzibar had similarly lost energy and focus, with few meetings of members and little to no oversight activities since 2009. Zanzibar first requested and received core CCM strengthening support in early PY1. When it followed up with a second request, the USAID/Tanzania mission decided to fund the work directly through field support. GMS responded with experienced teams familiar with Tanzania and Zanzibar and knowledgeable about current Global Fund requirements as well as future CCM responsibilities under the NFM.

In only a few months, Zanzibar transformed its CCM very significantly. The Global Fund has recognized its efforts and its achievements. The reform processes on the mainland are still taking root: due in part to recent replacement of the permanent secretary of the Prime Minister's Office, the perpetual TNCM chair.

Box 3. CCM DASHBOARDS for the Democratic Republic of Congo

The Democratic Republic of Congo (DRC) has eight ongoing Global Fund grants:

- Two Single Stream of Funding HIV/AIDS grants with Cordaid, a Dutch nongovernmental organization (\$60 M) and the Eglise du Christ au Congo/Santé rurale (SANRU), a national faith-based organization (\$70 M) as PRs.
- Three grants for malaria (total= \$151 M) whose PRs are the Ministry of Health (MOH) of the DRC, SANRU, and PSI, an American nongovernmental organization.
- Two grants for tuberculosis (total=\$29 M) implemented by the MOH of the DRC and Caritas, a faith-based organization.
- One grant for health systems strengthening grant (\$63 M) implemented by DRC's MOH.

In addition, the DRC is one of six countries selected as an early applicant under the NFM as an interim applicant for malaria.

In April 2013, a request for technical support was submitted by the USAID/DRC office in Kinshasa and approved by OGAC to strengthen the CCM oversight function and introduce grant dashboards. At the time of the GMS team's first trip to DRC in May 2013, six out of eight active grants were rated C. The remaining two grants had ratings of B1 and B2. Of the many options proposed by the GMS team, the oversight committee chose first to develop an oversight plan. The committee established a technical working group tasked with producing the first set of eight dashboards with virtual support from GMS. The committee continued its work, reinforced by a GMS workshop organized in trip 2. Fifty-three participants including most CCM oversight committee members and all PRs attended. The workshop agenda included time for customizing the grant dashboards, orientation to grant oversight, and use of dashboards for decision making.

Since the country dialogue and preparation of the concept note, both under the NFM, would occupy many stakeholders until the end of September, the GMS team was asked to postpone its final trip to the first quarter of PY2.

The USAID/Zambia mission financed a CCM assignment that provided a CCM retreat focusing on grant dashboards and revision of the existing framework documents. The assignment was then expanded to include development of the CCM communication strategy and establishment of the NFM steering process. The GMS local consultant will provide extended support for oversight strengthening and for dashboard implementation and maintenance.

The GMS team was asked to complete a diagnosis of CCMs in the Republic of Kazakhstan, the Kyrgyz Republic and the Republic of Tajikistan, then develop a capacity-building plan and technical support strategy, based on the identified gaps and needs for governance and oversight strengthening. The regional bureau of USAID approved the capacity building plan for the three CCMs and at the end of PY1 was finalizing the proposed technical support strategy. These two documents determine the next steps for support to all three CCMs based on the prioritization of proposed steps and activities.

4. Supporting PRs to improve grant performance

4.1. Urgent assignments requested by PRs

During PY1, GMS received sixteen assignments for assistance to PRs of which one was financed through field support. The technical themes of these assignments differed significantly from those of GMS1, principally due to the transition occurring at the Global Fund with standard grants “on hold” pending full commencement of the NFM in 2014.

First year PR assignments concerned grants facing challenges of ongoing funding. Unlike GMS1, during which pre-signature support for new grants represented almost 30% of all requests, only one such request, for a highly problematic and very delayed Round 10 grant in the Republic of Niger, was received in this first year of the second phase. Six other assignments were undertaken to support Phase 2 renewals for grants in the Republic of Guinea, Central African Republic, Malaysia, Republic of Uganda, Independent State of Papua New Guinea and Senegal. In several of these grants, consolidation was required.

The Phase 2 renewals being undertaken during 2013 are expected to be the final such renewals in the Global Fund process. The Global Fund has announced that, from the beginning of 2014, grant renewals will be replaced by short Phase 1 grant extensions to maintain coverage until NFM grants are awarded. This change is one example of the efforts underway to streamline the grant contracting process under the NFM.

PR direct request assignments in PY1

Central African Republic (canceled)
El Salvador
Guinea
Lesotho
Malaysia
Morocco
Nicaragua
Niger
Papua New Guinea
Uganda
Western Pacific
NFM

PR field support assignments in PY1

Tanzania

Box 4. Support to Niger's proposed PR

Niger was the first PR assignment received by GMS. The task transmitted on December 21, 2012: presignature support for a much-delayed Round 10 HSS grant with a desperate deadline: submission of all presignature documents by January 15, 2013 (a deadline later pushed back to January 18). GMS mobilized a multidisciplinary team which traveled to Niamey on January 7.

The team of six consultants aided the proposed PR, the Fonds Commun, to complete the required documents on time. This included completion of a new, risk management workshop. Following outbreak of violence across the border in the Republic of Mali, work in Niamey (Niger's capital) was halted. The GMS team leader and the technical manager were called to Casablanca, Morocco, to support the PR during grant negotiations with the Global Fund country team. Validation of the performance framework and the PSM quantification was the focus of intense debate. Unfortunately, negotiations broke down over confirmation of the Fonds Commun as PR for the HSS grant. The Fonds Commun had earlier been assessed by the local fund agent (LFA) and accepted by the Global Fund as a PR for this grant. Now, the Global Fund questioned the Fonds Commun's institutional structure and its fiduciary arrangements, and asked for submission of a new organizational structure and engagement of a fiscal agent assigned directly by the Global Fund. Eventually the Global Fund asked that a different PR be named to replace the Fonds Commun.

GMS came away from the Niger experience with several important lessons. First, GMS technical managers should make sure that the LFA assessment has been conducted and there are no doubts or pending concerns about selection or approval of a PR. Second, GMS and the Global Fund need to establish ground rules for their collaboration in presignature assignments involving new or poorly performing PRs.

In addition to these funding support assignments, GMS support for PRs included several where grants were required to undertake capacity strengthening or reform, in some cases where PRs were assuming wider roles or where it had become apparent that previous grant management arrangements needed reform. This included grants in Tanzania, the Kingdom of Lesotho, the Republic of Nicaragua and the Republic of Guatemala.

A feature of the PR assignments undertaken in PY1 was that, overwhelmingly, the assignment requirements demanded a mix of consultant skills. Accordingly, rather than teams being from a single technical field, teams were composed of consultants from a variety of technical skill areas. In only two assignments, Morocco and the Republic of Cameroon, did teams focus only on PSM issues. The growing complexity of GMS requests emphasizes the need for GMS team leaders to have the capacity to coordinate consultants working across diverse technical areas.

Box 5. Morocco: a single-theme assignment for PSM

The minister of health of Morocco submitted a request for technical assistance in PSM on July 11, 2013; it was approved by the end of the month. The objective of the technical support was to assist the country to prepare high-quality PSM documents aligned with the Phase 2 targets for the Round 10 HIV/AIDS and tuberculosis grants while also respecting the budget ceilings. In response, GMS formed a team of two PSM and one M&E experts, including an experienced Moroccan team leader from GMS1. Before the September deadline, the team had completed the PSM documents for each disease component, as well as completion of the grant performance frameworks. This colossal effort was completed in such a short time thanks to the active collaboration of the senior staff in the PR program management unit and other experts within the ministry of health.

In addition, the PR requested that GMS support an evaluation of the supply chain and its improvement to avoid stock-outs. This assistance had a twofold aim to institute and evaluate (1) the use of a dispensing tool for ARVs that provided real-time monitoring of patients in treatment and the levels of drug stock available, (2) making the tool available to patients undergoing tuberculosis treatment. While this work was begun after completion of the Phase 2 documents, it will be completed in PY2.

4.2. Field support assignments for PRs

GMS received only two requests for PR support from USAID missions in PY1: one from USAID/Tanzania for the ministry of health and the other in a mixed request for CCM and PR support from USAID/Dominican Republic (cited above). Both requests aim to resolve systemic issues of management and partnership coordination.

Support to Tanzania's public sector PR, the ministry of finance (MOF), constituted the first field support request to GMS from a USG mission. As in certain other East African countries, government regulations on donor financing require the MOF to act as PR for public sector support, while other agencies, including the Ministry of Health and Social Welfare of Tanzania, the Tanzania Commission for Aids , and the Prime Minister's Office of Regional Administration and Local Government , undertake the key program implementation responsibilities. In view of the repeated stock-outs of pharmaceuticals and health products (particularly ARVs) in the public sector grants, the Global Fund was anxious for Tanzania to clarify the allocation of responsibilities and establish effective grant management arrangements for its huge portfolio. The Global Fund had had concerns and agreed with the PR (the MOF) that a discrete project management structure would be established.

As an active member of the TNCM with a substantial PEPFAR program in Tanzania that closely complements Global Fund program, USAID/ Tanzania commissioned GMS to provide support to the MOF to develop effective grant management arrangements. However, as the GMS team commenced work with the PR in defining the planned structure and roles, concerns arose from the donor coordination group that establishing the planned structure may create a parallel system and not contribute to the desired longer-term capacity strengthening of the ministry.

A GMS team undertook three visits to Tanzania to facilitate reallocation of roles and responsibilities between the PR and the lead SRs, leading to definition of new management arrangements including for a project management unit, specification of reporting relationships, financial management , monitoring and evaluation arrangements. A grant operations manual and a project management unit work plan were prepared in collaboration with national staff. Orientation was provided to all stakeholders of the PR and the lead SRs on the changed arrangements and the responsibilities in meeting Global Fund requirements. As a result of this intervention and direct dialogue with the Global Fund country team, the donor group accepted that such structures can function in an integrated manner and not be separate and parallel. The MOF, in close communication with the Global Fund Country Team, implemented its project management mechanism with clarified roles for both the PR team and for the lead SR bodies who undertake the bulk of grant implementation activities.

Box 6. The Dominican Republic—a mixed CCM and PR assignment

USAID/Dominican Republic requested GMS support to strengthen the CCM and two PRs, CONAVIHSIDA (HIV/AIDS grant) and the vice ministry for collective health under the country's ministry of health (tuberculosis grant). This became a hybrid CCM-PR assignment. A GMS team initially conducted a rapid assessment of CCM structure and functions, focusing on Global Fund eligibility criteria. Key findings included lack of membership renewal, poor representation of key beneficiaries, lack of oversight function, and poor functioning of the executive secretariat. The GMS team presented several options for analysis and selection by the CCM that would form the basis of on which an action plan. In addition, USAID/Dominican Republic has strong interest in providing support to two PRs: GMS will conduct a functional analysis of both PRs and develop an action plan with specific interventions to address bottlenecks and improve grant performance.

5. Results of Objective 1 assignments

5.1. Meeting reporting requirements for Objective 1

In its contract for Grant Management Solutions, USAID requires submission to the COR of a trip report within ten days of completion of each objective 1 assignment visit; and including a client satisfaction survey following completion of the final visit of each assignment.

Contract reporting requirements include the following:

- “The Contractor shall prepare a final report which includes prioritized recommendations following each trip”;
- “The Contractor shall undertake an evaluation/client satisfaction survey of each project mission. Results of this survey shall be responded in the final trip report and aggregated results of these surveys shall be presented in the Quality Assurance Plan (QAP) and/or the PMP.”
- “Within ten business days of completing each project/mission/scope of work, the Contractor shall submit a brief written report that describes the deliverables from the COR-approved project plan with recommendations for any necessary follow-up work. This report may include results of a “client satisfaction survey.

During the start-up phase of the project, staff from all objective teams developed a trip report format that provides USAID with key strategic information on each assignment in a concise form. This format has been approved by USAID. The trip reports are summarized in an end-of-assignment report submitted to the in-country client—CCM and/or PR for core-funded assignments, USAID mission for field support assignments. For CCMs and PRs in core assignments, the end-of-assignment report is presented in the official language of the country (translated from English).

The trip reporting system is embedded in the GMS information management system (IMS), which is described in detail in Part 4, section 2.1 below. The following sections summarize results captured by GMS in accordance with the requirements described above.

GMS trip reports include the following information:

- reason for the request
- team composition and visit dates
- key issues addressed
- summary of key actions needed from one trip to the next
- deliverables produced
- summary of persons met
- list of participants at GMS meetings and orientation sessions

5.2. Results of GMS client satisfaction surveys

As part of the enhancements to reporting introduced in PY1, a Client satisfaction survey process was introduced to strengthen the quality assurance cycle for technical support assignments. The execution and delivery of such a survey to the USG is a contract requirement for GMS. During each assignment, the team leader identifies a small number of client counterparts suitable and willing to participate in the Client satisfaction survey following the final visit. Each counterpart is sent a brief explanation of the survey process and arrangements are made for telephone or Skype contact by an appropriate GMS officer. Where direct contact is impossible, a written format has been used.

The satisfaction surveys explore the “good fit” of the team and its work with the client’s needs. Questions seek to confirm that the approach delivered was aligned with the team’s terms of reference and the scope of work, and that the team engaged the client in a fully participative manner. Open questions are used to define the team’s strengths, its contributions beyond the formally agreed “products,” and to gather suggestions for improvements.

Satisfaction surveys have been carried out for the eleven completed assignments: forty-three clients and stakeholders participated. The satisfaction rate (“great extent” or “full extent” on five or more of eight items) is 98%. The suggestions for improvement often included a request for extended GMS support. Another common suggestion was early engagement of the local consultant for a team. At times in PY1, local consultant engagement has been delayed, which may reduce team effectiveness and local consultant effectiveness during the follow-on monitoring period. In response, GMS is implementing procedures to accelerate the process of local consultant engagement.

The most commonly cited characteristics of effective support from GMS teams follow.

Box 7. Satisfaction Survey Quotes

- Active listening rather than just “giving lectures”
- Using a participatory approach and foster an exchange of ideas
- Demonstrating flexibility according to client priorities
- Teams who develop knowledge of the country and are culturally sensitive

- Teams who review material provided to the carefully
- Demonstrating passions and commitment to their work
- Transferring skills
- Empowering client to make decisions on their own and thus foster client ownership
- Looking beyond immediate scope of work by linking assignment activities to other client needs.

Patient and listened very well; everything was done systematically from one step to another without skipping anything. Very participatory approach-- not telling us what to do, but rather made us think. -A CCM client

...great experts, they respect the country and views of others. They are listening, and very responsible and responsive. They are also culturally sensitive; it is great to see such an approach from the outsiders. -A CCM client

I am appreciative of the skills that they have transferred to the PR team. For example, the M&E experts would guide and train the staff on how to develop the performance framework, and the finance consultant would support the staff on developing a user-friendly budget. -A PR client

The team was firm in making PR own the work! – A PR client

The GMS team went beyond their call of duty and required hours to assist the PR with the (submission). Apart from meetings and face-to face discussions, they were available online, even at late or early hours. Additionally, they were also available prior to their assignments, and during their (out-of_ -

5.3. Quantitative results of Objective 1 assignments

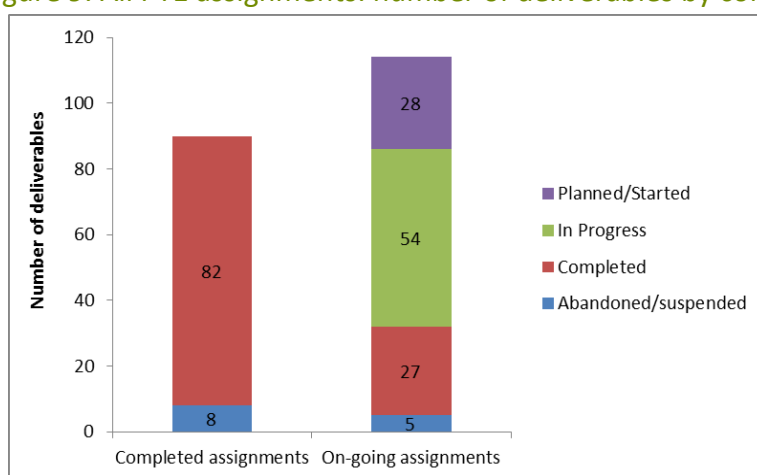
PY1 was fast paced and complex for the GMS Objective 1 team. The shift from one to three objectives, an expected evolution reflected in the GMS proposal, required a thoughtful and detailed change process. While GMS remains an integrated program, Objective 1 team members have significant responsibilities in ensuring delivery of Objectives 2 and 3 results: for Objective 2, the team contributes to substantive parts of the boot camp design and delivery; and to learning activities such as webinars. The Objective 1 team also contributed significantly to development of the IMS. Indeed, Objective 1 is possibly the IMS’s greatest user: project associates prefill the template; team leaders enter all data needed for trip reports and for results reporting (these constitute a majority of GMS results data); technical managers edits and complete the reports through this information platform.

Ultimately, the Objective 1 team is measured against the results achieved by the consultant teams it manages worldwide in close partnership with the finance and administration team. As stated above, GMS responded to 42 approved requests for core and field support with 41 teams of consultants. Assignments with PRs affected 20 grants (4% of all active grants) with a

signed value of \$870 M (5% of the Global Fund portfolio). Assignments with CCMs affected 100 grants (21% of all active grants) with a signed value of \$3.5 B (22% of the portfolio).⁷ Three of these assignments, those for the Central African Republic (two teams after one visit), two visits) and Guatemala PR (one team, two visits) were canceled due to political events or a change in decisions on the grants by the Global Fund or the country.

At the end of PYI, sixteen assignments were completed. These sixteen teams produced 90 products or deliverables (including eight for canceled assignments). An additional 114 products or deliverables are in various stages of production for ongoing teams (see figure 9).

Figure 9. All PY1 assignments: number of deliverables by completion status

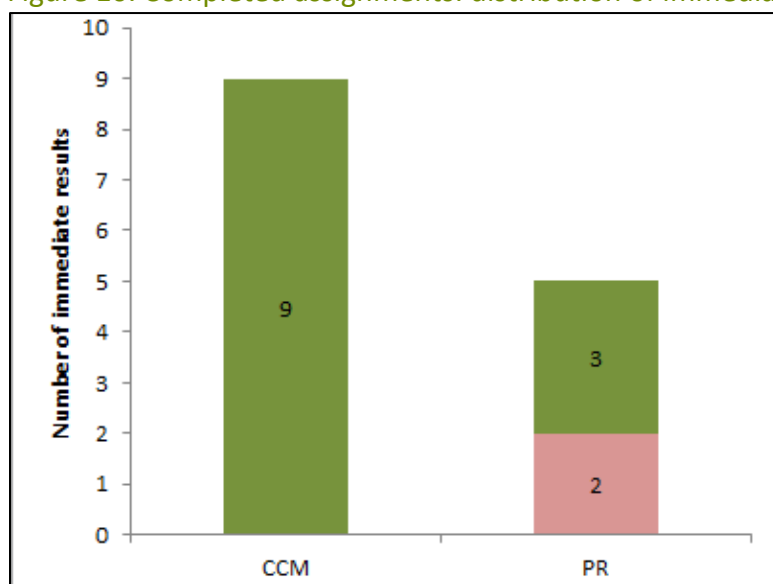


Most PY1 results remain at this output level, but represent substantial improvements in capacity and functioning:

- ✓ Six CCMs that received GMS support have new or updated governance and procedural documents
- ✓ Three CCMs have oversight plans
- ✓ Six PR clients have completed all presignature requirements for ongoing Global Fund funding
- ✓ Five PRs and SRs have new organizational structures and procedures for managing grants
- ✓ 900 individuals, mostly CCM members and staff, have received orientation to their roles and responsibilities, as well as introductions to the Global Fund's NFM
- ✓ Eighty percent of GMS deliverables have been validated by the CCM or PR client

⁷ Please note the large range of values for the grant portfolio of client CCMs from Malaysia (\$5.6 million) to Tanzania (\$825.7 million). The median value is \$110.4 million.

Figure 10. Completed assignments: distribution of immediate results after six months by status

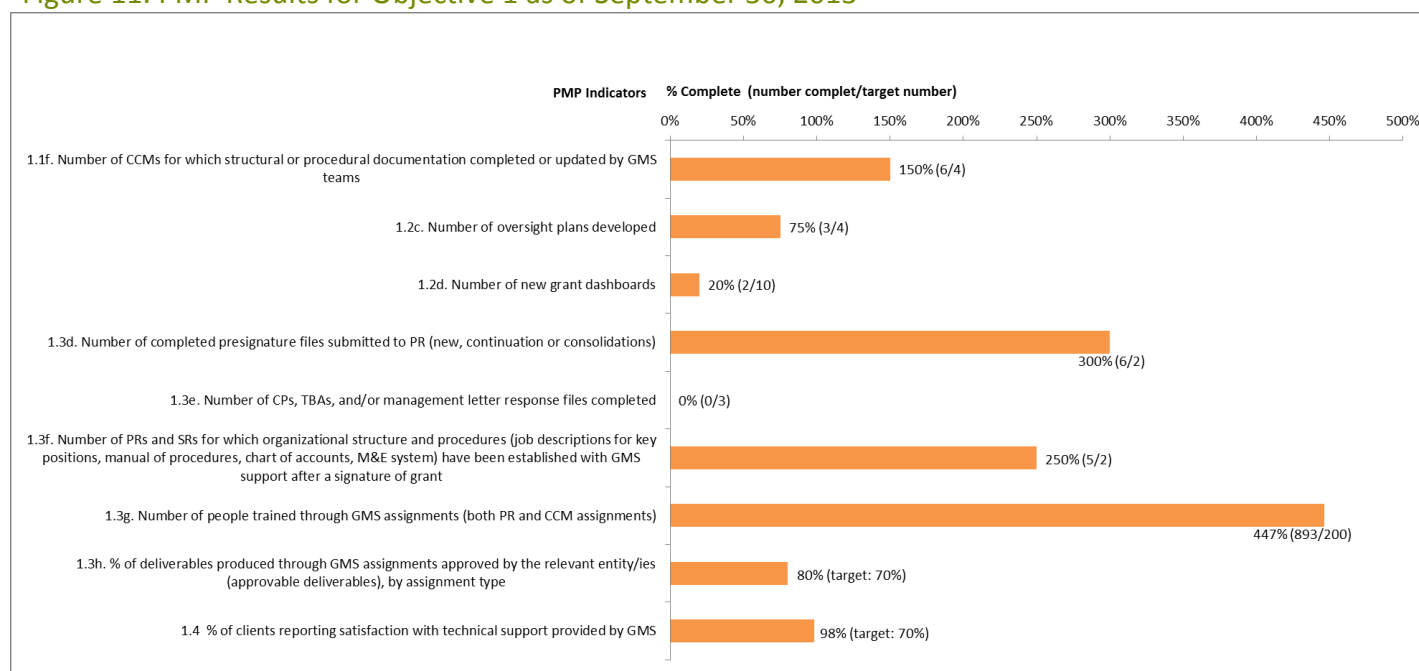


Two completed assignments have reached the six-month benchmark for follow-up. For the Niger PR, although three products were approved by the Global Fund, the grant was not signed with the client PR. For this assignment, the intermediate result will be negative. For the Zanzibar CCM, on the other hand, all immediate results have been achieved as planned.

5.4. Performance Management Plan results for Objective 1

The graphic below shows the annual results for the GMS PMP, the equivalent of a Global Fund performance framework for a USAID project. For PY1, all output indicators and outcome indicators of immediate results (not outcome indicators of intermediate results) that can be achieved within six months after end of assignment—hence are for some assignments achievable during PY1—are listed. GMS surpassed its annual targets on four of nine indicators and achieved greater than 75% of targets on three others. For certain indicators, no results can be reported: (1) No results can be reported for the number of conditions precedent or other conditions lifted, since the two assignments with such indicators begun in PY1 were not finished by the end of this year. (2) Since CCM dashboard assignments begun in PY1 were not completed then, no results can be reported for the associated outcome indicators for PY1. (3) Because the Global Fund had not as of end-PY1 published results on their decisions for four new grants and phases for which GMS provided technical support, no results can be reported on those assignments. Results for the outcomes of all these assignments will be published in the annual report for PY2.

Figure 11. PMP Results for Objective 1 as of September 30, 2013



PART TWO. GMS OBJECTIVE 2—CAPACITY BUILDING

1. Introduction

Objective 2, capacity building, comprises two strategies. First, Objective 2 is designed to build the institutional capacity of regional partner organizations to offer technical support services of GMS quality to CCMs and PRs in their regions through non-GMS contracts and assignments. The GMS contract requires recruitment and strengthening of two waves of six regional institutions from six Global Fund regions—Asia, East Africa, West and Central Africa, Southern Africa, Eastern Europe and Central Asia, and Latin America and the Caribbean—according to specific criteria of size and experience. The intent of this strategy is to expand the availability of high quality technical support in the Global Fund countries and regions.

Second, Objective 2 builds capacity of individual consultants through blended learning approaches and establishes standards for consultant performance through the GMS consultant certification process. This strategy responds to the internal demand for high quality consultants for Objective 1 teams, as well as the technical capacity strengthening needs of the twelve regional partners. In addition, through collaboration of Objective 2 and Objective 3, GMS responds to the capacity building needs of other technical support providers.

Both strategies build on efforts conducted in early PY1 to define core capacities and standards of quality for consulting services at the individual and the institutional levels. These efforts are described below.

2. Regional Partner Strengthening

2.1. The initial approach

The initial approach to regional partner strengthening matched each regional organization with a GMS Tier 1 partner which would act as its mentor over the ensuing five years. All regional partners would undergo a diagnosis leading to definition of a strengthening plan which would guide the work of “Phase 1” as required by the GMS contract. After two or three years of strengthening, capable regional partners would enter Phase 2 during which they were to market their services to PRs as direct contractors for potential work financed by grant funds reserved for technical support. GMS would monitor the type of work actually obtained by “Phase 2 ready” partners and their results. Given the level of uncertainty and risk of this new business, it was expected that contracts would be difficult – and potentially very slow - to obtain: although some PRs and CCMs did have funds available to source technical support, it was not known how many would, in fact, be willing to exchange the existing “free gift” model for a more effortful and expensive process of direct contracting.

At the GMS launch from November 1 to 3, 2012, the Objective 2 partners⁸ first developed a set of “core competencies” defining the “GMS consultant.” These competencies would be used to focus training, evaluation and certification (see section 3 below). In a similar fashion, a set of “core organizational competencies” was developed to guide regional partner strengthening. These competencies focused on (1) business development, (2) finance, (3) contracts, (4) operations and administration, (5) technical oversight. These areas were deemed to be critical for the provision of high-quality management-related technical support in keeping with GMS standards.

A task force was formed to craft an assessment tool, to establish benchmarks for “readiness” for each of the five competency areas, and to form a basis for detailed individual strengthening plans. The tool, referred to as the Regional Partner Capacity Assessment Tool (RPCAT) was

A regional partner for Latin America: Fundación Plenitud

During the launch of GMS, it became apparent that the originally recruited IAC regional partner, Sanigest, had a mission and goals that did not align sufficiently with those of GMS. The parties agreed that SANIGEST would leave the GMS partnership. In January 2013, GMS called for expressions of interest to recruit a new LAC entity. After reviewing 11 candidates and carrying out a site visit to the clear front runner, Fundación Plenitud was selected as the newest Wave 1 regional partner.

Fundación Plenitud is based in the Dominican Republic and works internationally, with a main focus in LAC but with working experience in other world regions, particularly in Africa. Fundación Plenitud is a non-governmental, non-for profit, independent institution dedicated to improving the performance of the health, education and environmental systems, providing technical assistance services, generating information and disseminating knowledge with a systemic perspective to bridge the gap between research and action in development matters.

⁸ In this section, “Objective 2 partners” refers to GMS core staff, and all Tier 1 partners, who are Abt Associates, Futures Group, the Alliance, PACT, MIDEGO, TRG and Tier 2 partners ALMACO, OASYS, Q Partnership, Curatio Foundation, TAI, and (October to December) SANIGEST followed by (January onwards) Fundación Plenitud.

finalized by mid-March. It comprised over one hundred “statements of excellence” pertaining to the five main areas, each with between three and eight subareas. Each area was scored on a scale from 1 to 4, with 3 being the benchmark for Phase 2 readiness. Detailed instructions, as well as templates for the strengthening plan and assessment reporting, were also developed.

2.2. The six “Wave 1 partners”

As required by the tender, the initial six partners—“Wave 1 partners”—were named in the GMS proposal. Four of the six had been selected as additional fixed-price subcontractors in GMS1 and had carried out urgent technical support assignments as part of GMS1 teams:

- ALMACO Ltd., Nairobi, Kenya, working with GMS since 2007
- OASYS, Dakar, Senegal, working with GMS since 2010
- Q Partnership, Harare, Zimbabwe, working with GMS since 2008
- TAI, Dhaka, Bangladesh, working with GMS1 since 2007

The other two regional partners were selected for the proposal:

- Curatio Foundation, Tbilisi, Georgia, a member of MSH’s “Technical Consultants Network” since 2000
- SANIGEST, San Jose, Costa Rica, selected after a regional search. The selection of a replacement for SANIGEST is described in the accompanying box.

2.3. Lessons learned about regional partner strengthening

As diagnostic visits were completed and strengthening plans submitted, it became apparent that there was considerable variation among the regional partner organizations. Some regional partners had scored themselves quite low on a majority of competencies described in the RPCAT, while Curatio scored at least 3 on all areas. The strengthening plans generated much debate, as it was often hard to select priority actions when scores were comprehensively low.

Furthermore, the limitations of the mentor-mentee pairings began to surface: in one case, the mentor partner could not mobilize an organizational development expert with appropriate language skills. In other cases, limited mentor expertise in one or more of the key competency areas led to a partial or unbalanced assessment of the regional entity’s capacity with varying amounts of detail and focus. The variety of proposed strengthening interventions made it difficult for GMS to determine appropriate levels of effort, which made contract negotiations with Tier 1 mentors lengthy and overly iterative.

By May, it had become apparent that the original regional strengthening approach was proving to be unsatisfactory and warranted comprehensive revision.

First, the “compliance-based,” functional focus of the assessment and strengthening plans failed to take into account a fundamental element of regional partners’ capacity development as private sector businesses: the need to develop a solid strategic framework for the organization, including how to integrate the new Global Fund business into its activity-base. This strategic analysis needed to include a definition of the organization’s overall vision for itself

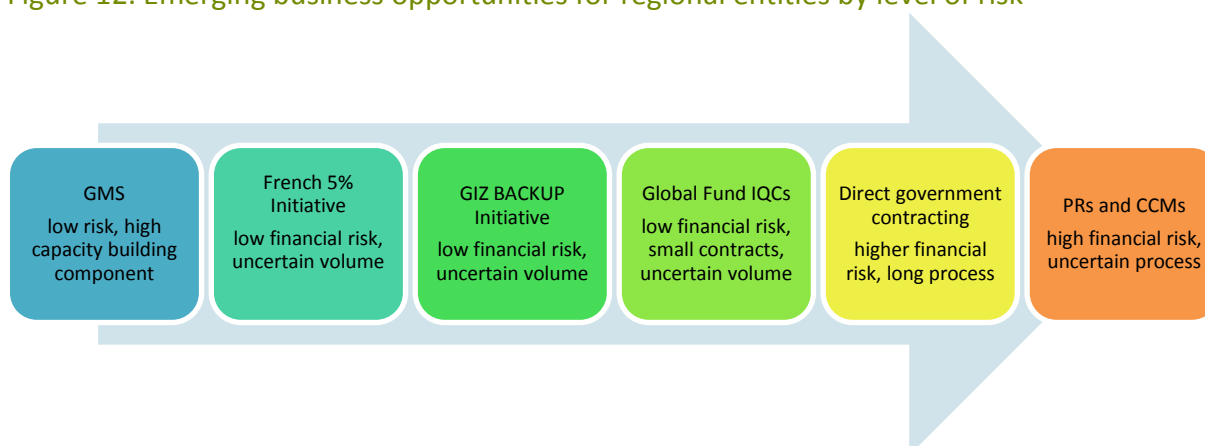
including its core products and services, its business development vision (growth versus consolidation), and its costing and pricing structures.

Second, the original approach of one-on-one mentor-mentee partnerships proved to be inadequate for meeting the full gamut of regional partners' needs. While some partners felt appropriately "matched" with their mentor organization, in terms of peer experience and ability to fully support their capacity development, others were less satisfied. Furthermore, it was clear that certain types of sought-after services (e.g., website creation or upgrading, development of marketing materials, business coaching) could be more effectively delivered by local providers. By June, GMS staff decided to revise the approach.

2.4. The changing environment for non-GMS technical support

Impetus to modify the GMS approach to regional strengthening was intensified by a growing understanding of the changing landscape of Global Fund technical support. Originally there were only two options for Global Fund contracting for regional entities, GMS or PR subcontracting, and since then a number of additional donors emerged. Three of these present opportunities with only slightly higher risk and investment cost than does the GMS work. These are (1) the Global Fund Secretariat which has begun publishing indefinite quantity contract (IQC) tenders, (2) FEI, and (3) GIZ's BACKUP Initiative (see figure 12 below). Opportunities may arise for smaller amounts of work from UN partners and other bilateral donors supporting specific countries. In addition, a few governments and CCMs have indicated interest in possibly engaging direct support for issues around the NFM. These new opportunities materially affect the time frame for regional partner capacity development. It is no longer feasible to implement a linear process of regional partner strengthening over two or three years. Tier 2 partners need immediate support to be able to respond to emerging opportunities and build their regional reputations.

Figure 12. Emerging business opportunities for regional entities by level of risk



2.5. Global Fund IQC: GMS support to regional partners

This evolving landscape became immediately apparent when, on July 8, 2013, the Global Fund Secretariat issued Indefinite Quantity Contract (IQC) TGF-13-025 "Request for Proposal for Support to Ministries of Health on Assessments of Health Facility Service Readiness, Data

Quality, and Analytical Reviews to Inform Development of National Plans.” GMS recognized this RFP as an excellent opportunity for regional partners to seek non-GMS Global Fund business in a low-risk environment.

Through a series of mentoring telephone and skype calls, GMS project staff (technical and financial) supported the six partners to review the request for proposals, assess the feasibility of bidding, and develop their supporting documentation. All six partners decided to bid either singly (TAI and Fundación Plenitud) or jointly (OASYS-ALMACO, Q Partnership-CURATIO). On October 15, Global Fund informed Q Partnership—CURATIO that they had been selected for the IQC. (Unfortunately, the OASYS-ALMACO, Fundación Plenitud and TAI bids were unsuccessful.)

2.6. Supporting business innovation

Another reason why the linear Phase 1 and Phase 2 approach is too slow for GMS is that the regional partners themselves are moving quickly to identify and fill gaps in the technical support landscape. The following box describes the innovative thinking of the GMS regional partner from Senegal.

Box 8. OASYS: Supporting country dialogue in five countries

Under the Global Fund’s NFM, countries are required to implement a multistakeholder consultative process called the “country dialogue” to move towards development of the “concept note,” which replaces the proposal when applying for grants. Although CCMs are expected to will lead the process (in the absence of any other national convening body able to carry out this function), it is unclear to what extent CCMs are confident in their ability to do so.

During other technical support work with the CCMs in Senegal, Niger, Islamic Republic of Mauritania, Republic of Madagascar and Republic of Tunisia – all so-called standard applicants planning to develop their concept notes early in 2014 – the founding director of OASYS, Ousmane Sy, was asked repeatedly for information and advice about Country Dialogue. To respond to this gap in knowledge and capacity, OASYS developed a combined country and regional assistance package to support the process in all five countries. With the preliminary endorsement of the CCMs, OASYS has sought funding from GIZ’s BACKUP Initiative and complementary funding from the French 5% Initiative. To date, GIZ has given provisional approval to supporting the process.

As part of the regional strengthening package, GMS has offered to review OASYS’ budget and work plan to ensure feasibility and appropriate costing and pricing. In addition, GMS will provide a small amount of “seed money” to OASYS to help cushion the financial risks of this innovative project: this “jump start fund” will be available on a once-only basis to all twelve of the Regional Partners should they, too, develop innovative products or services within the framework of Global Fund technical support.

2.7. New strategic business focus for PY2

During July and August 2013, GMS’s project director, the Objective 2 team, resource persons from the Tier 1 partners and the GMS COR developed a more appropriate “business-focused” approach to regional partner strengthening. Under the new approach, regional partners will complete strategic analysis and business planning to initiate development of new lines of Global Fund technical support work, based on each organization’s core business capabilities and vision of future development. This accelerated phase 1 will include functional analysis and

optimization of business systems, a costing and pricing analysis, business plan development, marketing plan development, and support to proposal development, as well as additional support services to be provided by local contractors.

Rather than acting as paired mentors, Tier 1 partners will provide technical strengthening in their areas of greatest expertise. To encourage appropriate matching between Tier 1 and Tier 2 partners, strengthening interventions will be offered on a “marketplace” basis, pairing supply (based on Tier 1 partners’ particular organizational expertise, and their ability to deliver support on a timely basis in the appropriate language) and demand (based on regional partners’ analysis of their priority needs after undergoing the comprehensive strategic analysis process outlined above). In addition, regional partners will be encouraged to contract directly with qualified local service providers whenever appropriate, and subject to vetting by GMS.

Phase 2 of regional strengthening was refocused on quality and results monitoring. Institutional quality will be formalized through a chartering approach for regional partners. Instead of institutional certification, for which GMS lacks authority, a charter of quality will be developed, establishing a set of principles and standards for GMS-quality technical support. GMS will extend use of the GMS IMS results tracking system to chartered partners so that they may measure the outcomes and impact of their non-GMS work on grant performance, a process that would otherwise be challenging for them. The charter will be developed and circulated early in PY2.

This new approach was first presented to the GMS COR, Ms. Rushton, and subsequently to each of the Tier 1 partners individually. Having been greeted with enthusiasm by all six, it was presented in more detail to both tiers of partners at the Annual Regional Partners Meeting on October 2 and 3, 2013. During the meeting, Tier 2 partners shared experiences and confirmed their satisfaction with the new approach. The two days culminated in a marketplace exercise using a speed dating format, during which Tier 2 partners were able to assess the service offer of each of the Tier 1 organizations and prepare a list of preferred providers based on matching need to supply. Results of the exercise will be used for work planning and contracting in PY2.

The new approach aims to ensure that Wave 1 partners have access to a comprehensive set of strengthening interventions to complete efforts undertaken to date. Wave 2 partners will be offered the full package of services, tailored to the individual situation of each incoming organization.

3. Consultant training and certification

3.1. The GMS certification policy: development

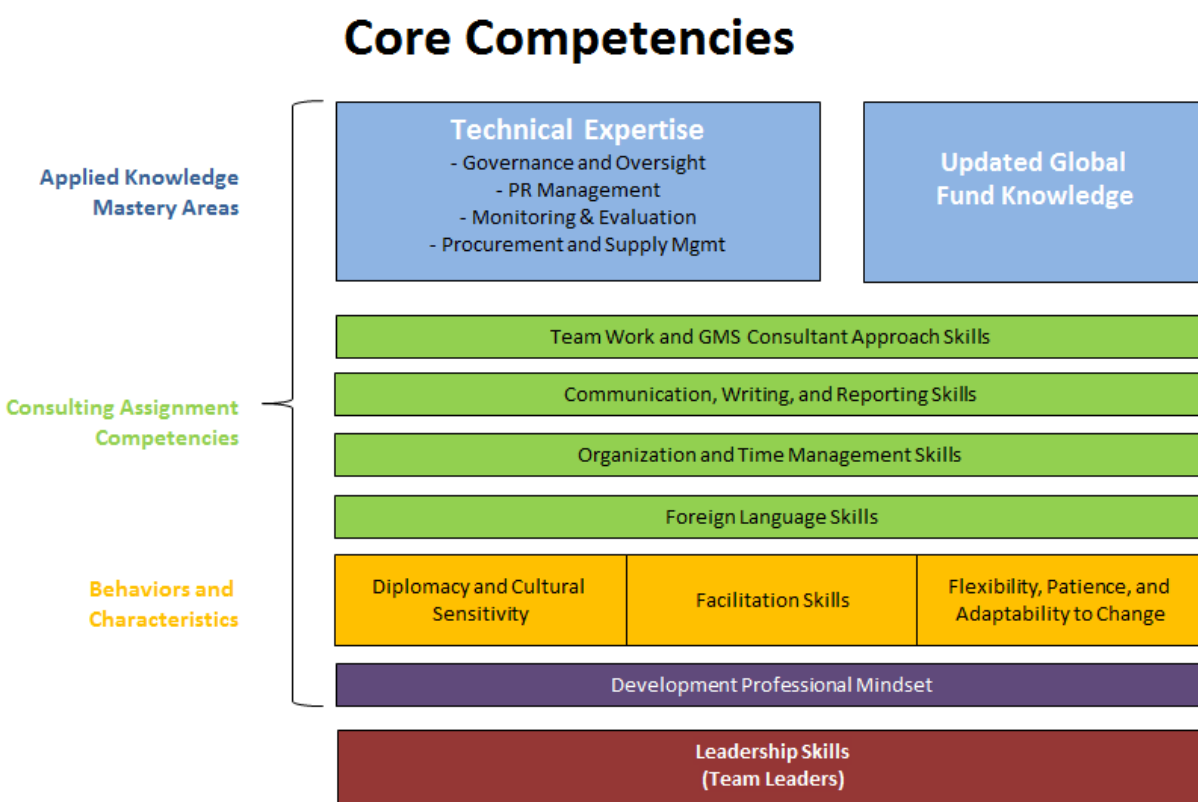
GMS initiated development of the Consultant Certification Program during the Objective 2 launch activities. The first step was to determine the levels of certification GMS would offer; the second, to identify the capacities of the ideal GMS consultant at each level. Comments gathered from partners during GMS’s project launch in November 2012 as well as from experienced team leaders during the Team Leader Refresher Workshop in December 2012 provided a wealth of ideas for consideration.

The Objective 2 team then started to develop the criteria on which certification would be based. Two types of requirements became apparent:

- Eligibility requirements—steps for completion that would render a consultant “eligible” to be considered for certification, namely completion of training and field assignments
- Competency requirements—the knowledge, skills, and abilities necessary to provide technical support using the GMS approach (speed, complexity, and quality)

The GMS team worked with project staff and partners to develop a set of core competencies based on the “ideal GMS consultant.” GMS decided upon a set of nine competency areas for consultants, plus a leadership competency area for team leaders (see figure 13 below). In addition, the eligibility requirements were designed to provide the opportunities (both through training and team assignments) during which the competencies could be assessed. GMS determined the eligibility requirements for consultants to be a minimum of the GMS boot camp plus two assignments in two different countries. Eligibility requirements for team leaders include certification at the consultant level and 2 successful assignments as a team leader in 2 countries. Additional team leader training is provided as needed. Certification will be valid for two years; renewal will depend on completion of continuing education modules and successful completion of additional assignments.

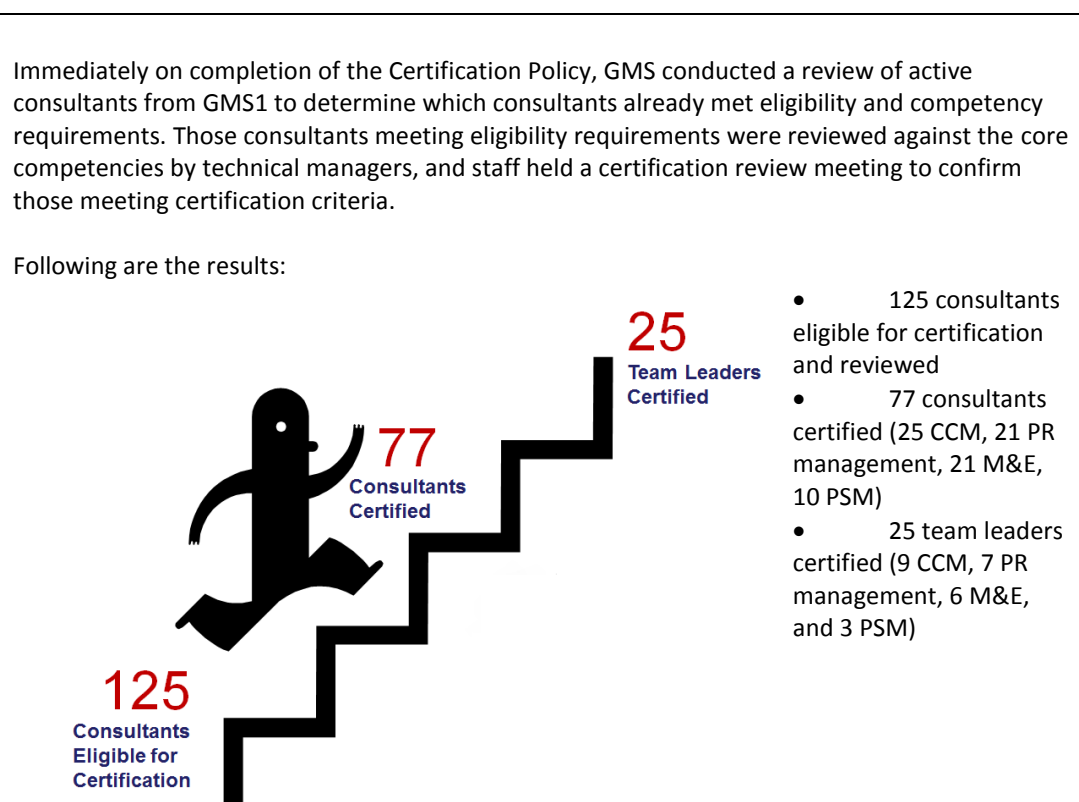
Figure 13. Core competencies of GMS certified consultants



After determining *what* certification would be based on, GMS turned to *how* certification would be confirmed. Performance assessment forms were created for each step in the process based on the core competency areas, and procedures for reviewing the candidacy of eligible consultants for certification on a quarterly basis include a detailed review of the evaluations from training and assignments.

The detailed and thorough development process culminated in the publication of the GMS Certification Policy in May 2013. In addition, two briefs were written to summarize the Certification Program, one for external audiences and one for consultants and team leaders.

Box 9. Consultant certification: the grandfathering process



Certification review meetings will be conducted quarterly. As more GMS assignments reach completion, more consultants will become eligible for consideration and reviewed. Readiness and performance assessments are collected routinely from training events and assignments in order to adequately evaluate consultant performance based on the core competencies.

GMS conducted one additional consultant certification review in PY1. At that time, only five more consultants were deemed eligible for consideration and only three consultants were certified, bringing the total up to 80 certified consultants and 26 certified team leaders.

The Global Fund Secretariat indicated interest in the GMS consultant certification process. At end-PY1, discussions were underway to determine how the Secretariat will signal its endorsement of the process and of the standards and training which underlie it.

3.2. Modifying the GMS approach to training: blended learning

GMS conducted its first second-phase consultant orientation (“boot camp”) in December 2012 based on the same curriculum used in the first phase. This curriculum emphasized information acquisition with some practice of new skills and methodologies as well as a few role plays. The technical content of the boot camp was updated to include new GMS and Global Fund material in the four technical areas.

While this style of training served the project well in phase one, when GMS was inventing many of the tools and approaches that were to become standard, the sheer volume of informational content dominated—and ultimately exceeded—the face-to-face time available. At the end of this boot camp, participants and trainers agreed that the information transfer approach had become unwieldy owing to the sheer volume of Global Fund data, language, and history considered “essential.” Furthermore, participants expressed a clear desire to better understand the GMS field approach which, despite a variety of exercises and modules in the boot camp, remained unclear.

In December 2012 therefore, GMS tasked the Objective 2 team to undertake a complete redesign of the boot camp. It became apparent that a “blended learning” approach was the most appropriate, with the bulk of the information transfer occurring virtually through an asynchronous mandatory online course, while the boot camp days would focus on skills-building and practice of the GMS approach.

Fortunately, the International HIV/AIDS Alliance (the Alliance), one of the GMS partners, already offered a virtual course introducing the Global Fund basics which it had developed for GIZ BACKUP Initiative. With the approval of GIZ, The Alliance agreed to work with GMS to update content and quizzes to meet the pre-boot camp requirements, and host the course on its website, monitor the results and provide technical troubleshooting (see more below).

With information transfer displaced to a virtual venue, the face-to-face workshop was redesigned to focus on application of knowledge and expertise through GMS approaches to technical support. To achieve this, GMS decided to apply proven adult learning techniques and adopt an experiential learning approach emphasizing guided discovery. The week-long boot camp was reconfigured as a scenario-focused event, reflecting the standard phases of a GMS assignment (diagnosis, technical interventions, capacity building, validation and handover to client). Developed in collaboration with the Objective 1 team, the Fictitia (a make-believe place) assignment scenario includes simulations (interviews, work sessions and presentations) as well as technical briefings and work sessions focused on specific interventions or deliverables. Participants worked in crosscutting teams with actual GMS team leaders acting as cotrainers/facilitators under the guidance of the GMS staff.

As well as allowing future consultants to experience some of the key components of a GMS field assignment, the assignment scenario builds a better understanding of the core competencies required for consultant certification, applying the “capacity in action” principle on which the GMS Certification Program is founded. The redesigned boot camp provides opportunities for consultants to show team work, diplomatic, organizational and time management skills, technical creativity, and facilitation and presentation skills with clients.

The first session of the new experiential boot camp was conducted from June 24 to 28, 2013. It was preceded by the first session of the virtual introductory course, requiring successful completion of all modules for GMS to confirm attendance at the boot camp. Based on participant evaluations, the changes in consultant readiness surveys, and anecdotal evidence from the trainers, the blended learning methodology was successful in building both the knowledge and skills of potential GMS consultants. All participants felt ready to take on a GMS assignment by the end of the orientation process, and the technical managers had a better understanding of each consultant’s skills and abilities as appropriate for a given assignment—an important secondary objective in training.

GMS began incorporating lessons learned from the completion of the first redesigned training cycle into the next cycle, to ensure that the orientation process will continue to meet the needs of consultants, technical managers, and clients.

Box 10. GMS-Alliance Collaboration for Virtual Training

When GMS decided to pursue a blended-learning approach to consultant orientation, basic introduction to the Global Fund was an obvious choice for virtual training. A preliminary virtual course would ensure that all boot camp participants would start the face-to-face training with the same basic level of Global Fund knowledge. GMS decided to explore existing virtual courses in an effort to reduce duplication of effort and because time was short for developing a comprehensive virtual course. Through previous work with staff from the Alliance, GMS knew of its virtual course on an introduction to the Global Fund, which had been designed for training GIZ consultants. GIZ and the Alliance were planning to update the course and to upgrade the Moodle platform to the latest version. GMS reviewed the Alliance course as well as other similar courses before selecting the Alliance course for its training needs.

In March 2013, GMS and the Alliance initiated modification of the virtual course that would come to be “An Introduction to the Global Fund for GMS Consultants.” During the ensuing two-and-a-half months, the modules were reviewed and reorganized, a new module was added about the NFM, and quizzes were updated. GMS technical managers played a major role in reviewing and ensuring the quality of technical content in the course. The Alliance staff visited GMS headquarters in May to finalize course objectives, methodology, and content.

The Alliance and GMS launched the first virtual course on June 1, 2013, for boot camp participants attending the workshop in the last week of June. All participants were required to complete the 4 virtual modules and pass the quizzes with an 80% score or higher by June 19. IHAA staff monitored the course and provided technical backstopping throughout, reporting to GMS those participants that completed the course successfully.

In PY2, the IHAA, GIZ, and GMS collaboration will continue prior to each boot camp. A French version will become available in early PY2 while the course content will be updated in late PY2.

3.3. Continuing education: collaboration with Objective 3

Over the course of GMS1 and into the launch of the second phase, many consultants were eager to stay abreast of Global Fund changes and GMS innovations. With the introduction of the NFM, and as part of the GMS Certification Program for consultants, staying up-to-date becomes a necessity. To meet this need, the Objective 2 Team is collaborating with the Objective 3 Team to use webinars as a principal means of updating GMS consultants. Between March and July 2013, GMS conducted six webinars on the NFM and engaging CCMs in dialogue about the NFM in English, Spanish, and French. Two additional webinars were conducted on the GMS trip reporting requirements for team leaders. There have been 47 participants in GMS webinars to date.

In addition, GMS will pursue asynchronous virtual training for continuing education as well as project management in complementing the consultant orientation content. Some of the content presented in “kiosk sessions” during the June boot camp will be transferred to virtual courses as well.

3.4. PY1 training activities in numbers

Figure 14. Boot camps 1 and 2: Number of participants by home region (total = 88)

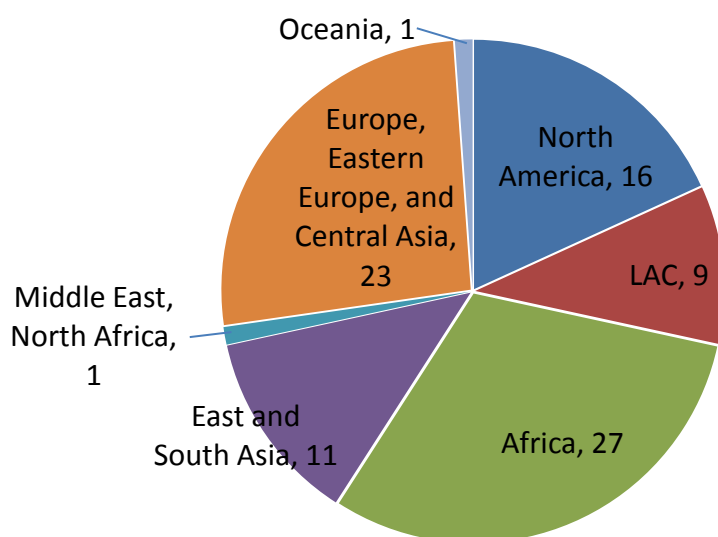


Table 3. Boot camp and 2 participants by first language

3.4.2.

English	Spanish	French	Arabic	Portuguese	Russian	Other
85	15	33	1	8	11	36
97%	17%	38%	1%	9%	13%	41%

In addition, GMS carried out two specialty trainings in PY1. From May 6 to 10, 2013, GMS held its first specialty training on PSM, with fourteen participants from three subspecialty areas. This course was designed to transfer skills between subspecialists in PSM logistics, quantification and forecasting, and tendering/procurement.

From December 3 to 5, 2012, GMS carried out its second Team Leaders Orientation meeting. This event was designed to ensure that team leaders understood the expanded scope of work of the second phase of GMS and to update them on GMS's technical support role under the NFM. Twenty-one existing team leaders participated in this event.

3.5. The consultant network in figures

Figure 15. Active consultants by technical area (total = 329)

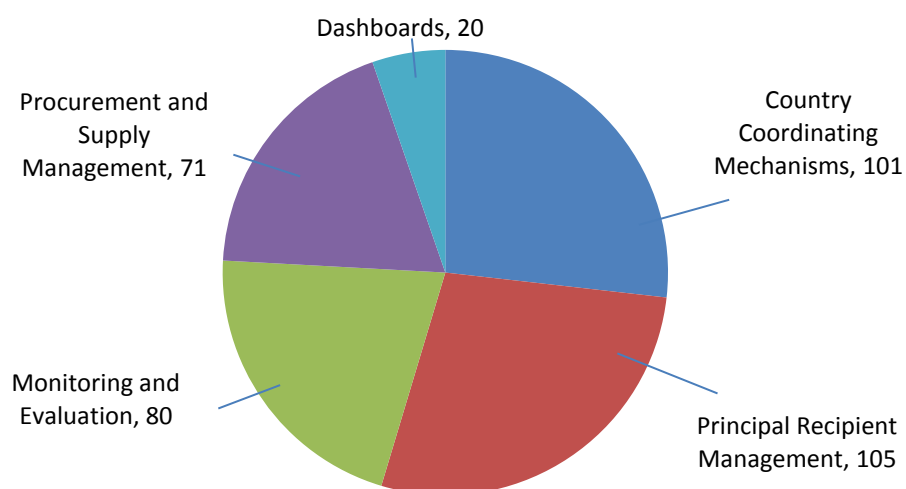


Figure 16. Active consultants by home region (total = 329)

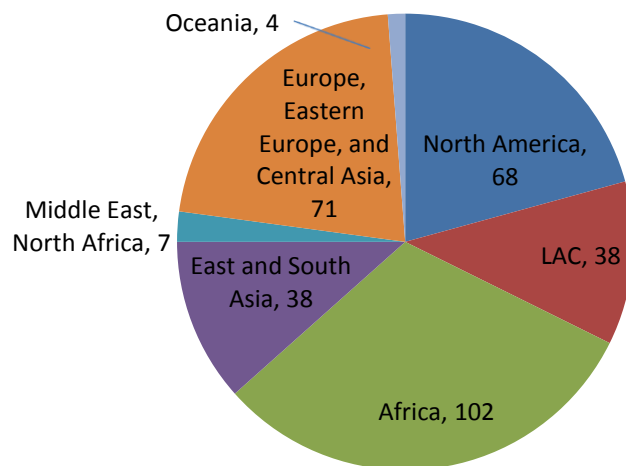
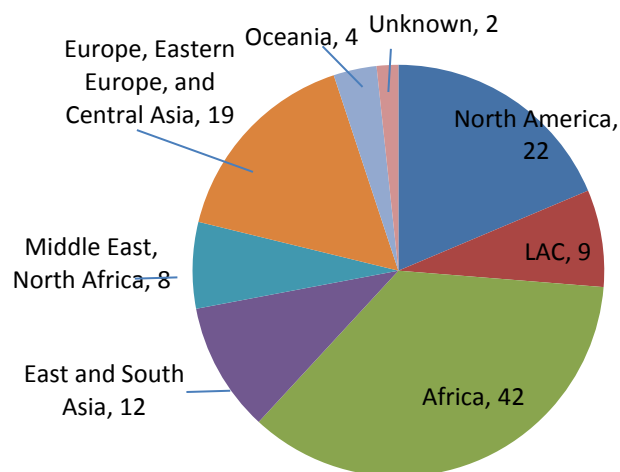


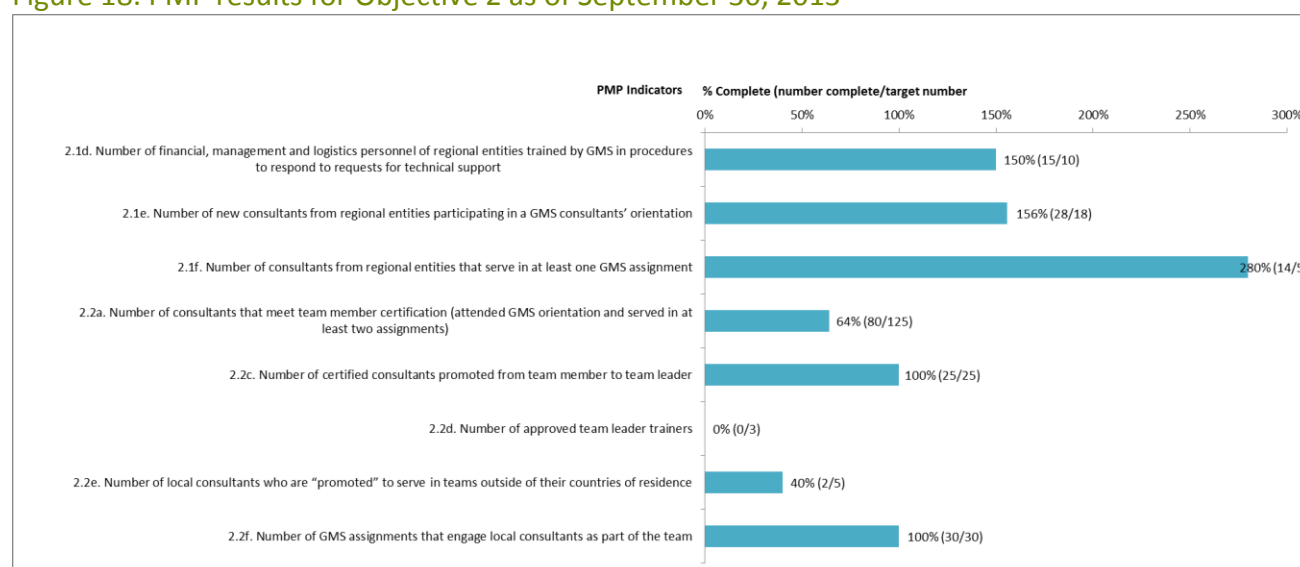
Figure 17. Number of consultants on assignments in PY1 by region (total = 118)



3.6. PMP results for Objective 2

GMS attained its PY1 targets for Objective 2 in five of the eight indicators. Targets for participation of consultants from regional entities were surpassed in large part because their selection was prioritized for Objective 1 teams and in boot camps. Targets for three certification indicators were not met because standards for team leaders/trainers have not yet been developed and because the number of Objective 1 assignments has been too low to allow other consultants to meet the requirements for successful completion of field work. Objective 2 targets will be revised in PY2 to reflect the updated regional partners strengthening strategy.

Figure 18. PMP results for Objective 2 as of September 30, 2013



PART THREE. GMS OBJECTIVE 3—ELECTRONIC PLATFORMS FOR DISSEMINATION OF TOOLS AND BEST PRACTICES

1. Introduction

GMS's contract with USAID narrowly defines Objective 3 as demonstrating technical leadership through sharing GMS's knowledge and practices through electronic platforms. In addition to this official mandate, GMS has designed Objective 3 to cover a number of cross-cutting functions:

- Virtual training in collaboration with the Objective 2 team (see part two, section 3)
- Results management (see section 2 below)
- Development of purpose-built tools such as the PR management Dashboard (see section 4 below)
- Development of new, organically created tools, designed by GMS consultants (see section 4 below)
- Communications (see part 4)

To fulfill these all these functions, the Objective 3 team is divided into three subteams—a subteam responsible for creating and overseeing the information management system as well as for results management led by a strategic information team leader; a communications team led by a communications specialist, and a tools subteam led by an electronic tools specialist. The information management system is implemented through a subcontract with The Futures Group that includes a team of programmers in South Africa and business analysts based in the U.S. (see section 4).

2. Providing technical leadership in results measurement

Part of Objective 3's mandate is to dialogue with other technical support providers about measurement of the results of technical support. A systematic approach to results measurement includes a clear results framework, a consistent process for collecting, analyzing and measuring data on results and defined standards for the quality of technical support. Such a systematic measurement allows technical support providers to

- determine whether technical support provided to PRs and CCMs gives the desired effect
- compare the results of technical support from various providers
- make necessary adjustments if the conclusion is that certain technical approaches consistently fail to produce expected results

GMS envisions that once a critical mass of technical support providers expresses interest in having a more systematic approach to measuring technical support, it may be possible to create a consortium of technical support partners using a common logic model and shared indicators, and, perhaps, similar mechanisms for tracking results.

GMS's strategy has been to begin by sharing knowledge about its systematic approach to results measurement with other technical support providers through brief presentations and discussions.⁹ Once a technical support provider expresses interest in adopting elements of the results approach, GSM offers to hold work sessions to help the provider think through which elements would be appropriate for it to adopt for its specific situation, mandate and resources.

In PY1, GSM focused primarily on the first part of its strategy, establishing a dialogue with key providers of technical support about results measurement to convince them of the merits of a systematic approach. These efforts ranged from holding an information session for the Health Financing and Governance project (managed by Abt Associates) and with M&E officers from MSH's three centers, to work sessions with entities such as FEI and GIZ. In July 2013, these efforts led to additional work sessions with the Leadership, Management and Governance (LMG) project (managed by MSH) to explain the GSM approach to measuring results and the value of adapting relevant elements of the approach to LMG's results framework for new Global Fund-related work.

Cooperation with FEI started with a meeting between FEI and GSM at FEI's first annual meeting in April 2013 in Paris where discussions focused on coordination, results tracking, consultant performance monitoring and on FEI's first annual evaluation of its activities. This was followed by a two-day knowledge exchange between GSM and FEI in May and June 2013 where each shared its approach on results management for information on technical support. Following these meetings, FEI expressed interest in adopting some aspects of GSM's approach to results measures and GSM facilitated FEI's receipt of data from the Global Fund relevant to FEI's work.

⁹ This began at the GSM1 End of Project Conference in June 2012.

In its work with GIZ and The Alliance, GMS went beyond sharing of its results approach to begin work with its staff on a common results framework. This work started with discussions with GIZ and The Alliance in June 2013 and was to continue in work sessions with them in October 2013.

Discussions with FEI, LMG, HFG, and GIZ highlighted their difficulties in generating a predefined list of deliverables of assignments, given the wider scope of their assignments, compared to GMS. Such a list is used by GMS for assigning expected immediate and intermediate results. Those discussions led GMS to review its immediate and intermediate results and put them into three groups: approval, implementation, improvement in processes/services. The results of most deliverables can be categorized into one of these three groups, simplifying the formulation of immediate and intermediate results by deliverable. This mechanism is now under discussion with GIZ, the Alliance and UNAIDS.

GMS also contributed to shaping thinking on standards for quality and measuring results in international for a such as the UNAIDS Consultation on Strengthening Country Access to HIV Technical Support in a Changing Environment, a meeting of donor partners, technical support providers, and beneficiary institutions held in July 2013 in Geneva, Switzerland.

3. Using electronic platforms for dissemination

In employing electronic platforms for knowledge dissemination, GMS pursued a strategy of targeting an audience of GMS consultants and partner organizations in its first year, with the vision of branching out to audiences in the wider community involved in Global Fund technical support in subsequent years. Platforms employed in the Year 1 included Go-To Meeting, Moodle, the GMS extranet, the GMS Web site and social media (LinkedIn).

3.1. Webinars

Webinars are a relatively low-resource mechanism for knowledge exchange, as they require a limited number of hours of staff time for preparation and execution, but no other costs. GMS began extensive use of webinars in March to directly target its intended audiences of GMS consultants, partner organizations and a limited number of technical support partners. Between March and August 2013, GMS held six webinars on the NFM—four in English, and one each in French and Spanish. GMS also organized a webinar to orient users to its updated trip reporting system. The total number of participants in all webinars was 95.

3.2. GMS Extranet

During PY1, GMS used its extranet to make materials available to its consultants, including monthly reports, GMS tools, and recordings of webinars. The extranet is accessible by defined groups of people through a portal including GMS staff and consultants, certain USG staff, certain MSH staff and the TSAP. In the future, the extranet will accessible through the GMS website, which will enhance its usability and efficacy.

3.3. GMS Website

GMS continued providing information to the general public about the project through its website. (The GMS1 site continues to be available at the same address as separate web page, as shown in the image of the website.)

3.4. Use of Social Media

LinkedIn was selected as the social media mechanism for GMS partners based on a rapid survey conducted during the launch of the GMS project. Two moderated forums were established to promote dialogue among forum participants. One forum is for Tier 1 and Tier 2 partners to discuss Objective 2 capacity-building activities and the second is for consultants to exchange information on their experiences with providing Global Fund-related technical support.

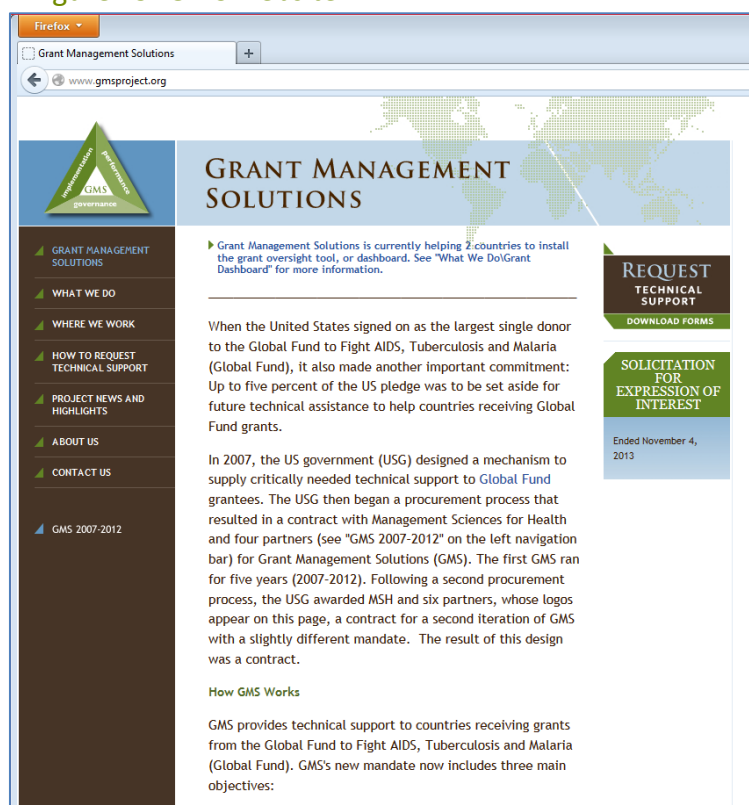
3.5. Face-to-face dissemination: the LMG strategic orientation

During PY1, GMS used face-to-face dissemination of best practices in addition to using electronic platforms. Through a three-day workshop conducted in July 2013 with the LMG, GMS transferred knowledge on its approaches to Global Fund technical support as well as to its approaches and mechanisms for measuring results of this work. GMS facilitated strategic discussions to help LMG orient its approach to planning and executing medium and long term technical support to Global Fund PRs and CCMs to respond to recently increased funding from USAID.

3.6. Contributions to new Global Fund Secretariat technical support tracking

Since 2012, the Global Fund Secretariat has worked to increase the coordination and tracking of Global Fund technical support partners and reduce redundancy. In May 2013, the Secretariat established a monthly technical support tracking database containing data on past and future assignments. GMS, together with the French 5% Initiative and GIZ have so far provided data for the Global Fund technical support calendar, allowing the Secretariat and the technical support providers to identify opportunities for collaboration and cost savings.

Figure 19. GMS website



4. Developing best practices and toolkit items

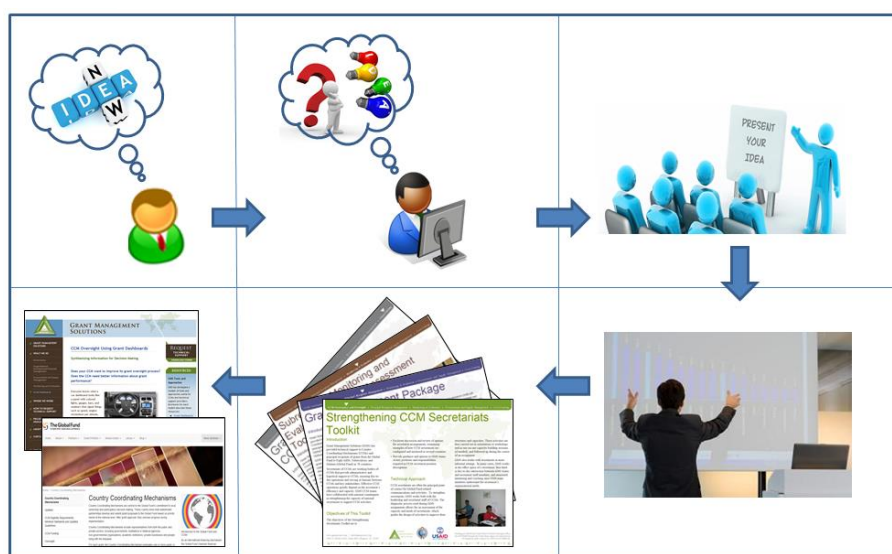
4.1. Introduction

As in GMS1, development of new toolkit items (templates, model documents, sample documents, guidelines, and methodologies) to respond to Global Fund requirements is carried out through two tracks: organic design and purpose-built tools. In the second phase of GMS, toolkit items from GMS1 are updated as well to meet new standards. Currently, GMS has 22 toolkits with one or more items, for a total of some 80 toolkit items. Before being made available to their intended audiences, all toolkit items are edited and packaged into existing or new toolkits; subsequently, they are translated. Once the extranet is updated during PY2 GMS consultants and staff will be able to search for tools using a variety of search criteria. In addition, GMS plans to provide more information on each tool in the form of a “tool profile,” so that consultants will have more up-front guidance on which tool is appropriate for a particular assignment.

4.2. Organically developed toolkit items

GMS consultants have continued to produce new toolkit items in the course of assignments to facilitate tasks or processes for which tools or methodologies do not yet exist. GMS’s technical and results teams track these tools and monitors their development and use through practice on assignments. Once the decision has been made to adopt one of these items as one of the toolkit items GMS publishes, the template, model or other item is included in GMS’s “tool assembly line.” GMS’s communications team then works with the technical team to finalize and publish these tools.

Figure 20. Developing a New Toolkit Item



GMS is currently tracking nine creations as potential new toolkit items or as additions or enhancements to existing toolkits.

4.3. Purpose-built tools : the NFM Scheduler

During preparations for the NFM webinars, GMS Electronic Tools Specialist Eduardo Samayoa developed an Excel-based application for modeling the timeline of new grant preparations for a specific disease. The *NFM Scheduler* uses the end date of an existing grant to retro-plan the steps of the NFM according to three scenarios of duration for each step. The Scheduler proposes start-dates for the NFM process for a disease based on the likely duration of each scenario (rapid, medium, slow).

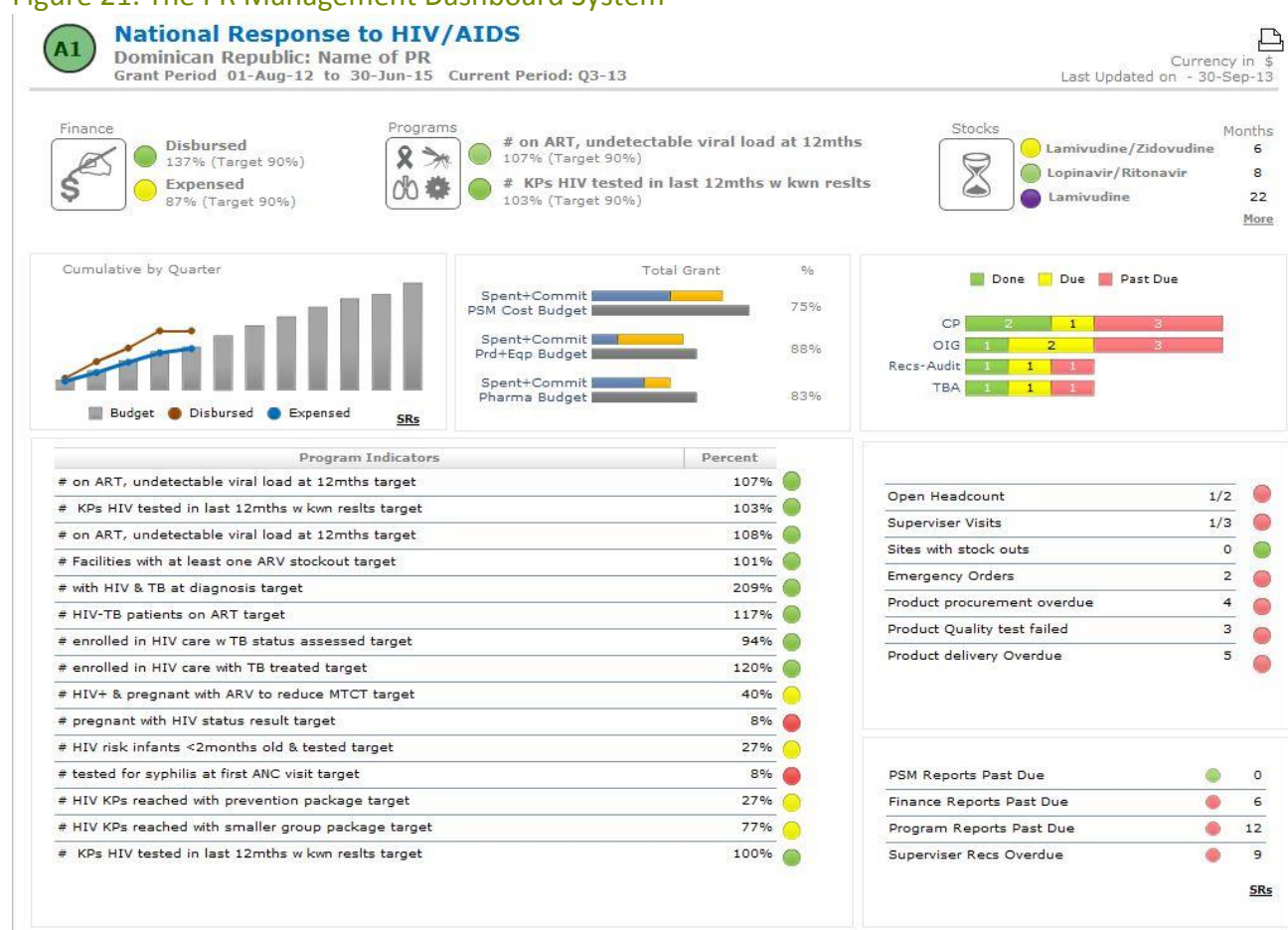
The *NFM Scheduler* was shared with the Global Fund Secretariat in June 2013. It has been tested by a number of Global Fund country teams and technical staff; dissemination throughout the Global Fund's country support unit may take during GMS's PY2. GMS may also disseminate the *NFM Scheduler* to CCM and PR teams for use under the NFM in the country dialogue.

4.4. Purpose-built tools: the *PR Management Dashboard* partnership

Development of the PR management dashboard is the principal GMS effort to design a purpose-built tool. In PY1, GMS embarked on a partnership with the Global Fund Secretariat and German multinational software corporation SAP to develop a generic grant management dashboard for PRs of Global Fund grants. By allowing PRs to visualize and compare performance of their implementing partners (SRs) and use dashboard indicators for decision-making, the *PR Management Dashboard* should help to improve grant management and performance. The dashboard should also facilitate production of Global Fund-related reports and of the CCM oversight dashboard. The *PR Management Dashboard* is based on earlier prototypes developed since 2006 by GMS electronic tools specialist, Eduardo Samayoa. Along with its accompanying documentation in five languages, the *PR Management Dashboard* will be made available for free by the Global Fund to interested PRs.

The *PR Management Dashboard* will have two major components: a dashboard produced using SAP Crystal Dashboard Design software and an Excel-based semi-automated data entry template. Improvements will include a more comprehensive list of indicators, improved ways of visualizing the data, and the ability to visualize SR and pharmaceutical details for specific indicators. This solution will be usable by PRs and SRs in both high and low technology environments.

Figure 21. The PR Management Dashboard System



Between March and September 2013, GMS, the Global Fund and SAP progressed from developing a basic structure for the partnership to developing the close-to-final applications. A memorandum of understanding between the three organizations was under development at the end of PY1: this document will formalize the contributions and responsibilities of each partner, as well as the intent of GMS and SAP to hand over the products to the Global Fund for release to PRs worldwide.

The structure for the partnership consists of a steering committee and a technical committee of Global Fund, SAP and GMS representatives, and a pilot test committee of GMS and Global Fund technical staff. The steering committee is the executive body of the partnership while the technical committee is the operational mechanism for the partnership responsible for design, development and finalization. The pilot test committee will plan and implement testing of the *PR Management Dashboard* in six countries (scheduled to occur in PY2 from February to May 2014).

The current version of the *PR Management Dashboard* was designed and developed following work sessions held between the Global Fund and GMS (indicator selection workshop in July

2013), between GMS and SAP (June and August 2013), and between the Global Fund, GMS and SAP (September 2013).

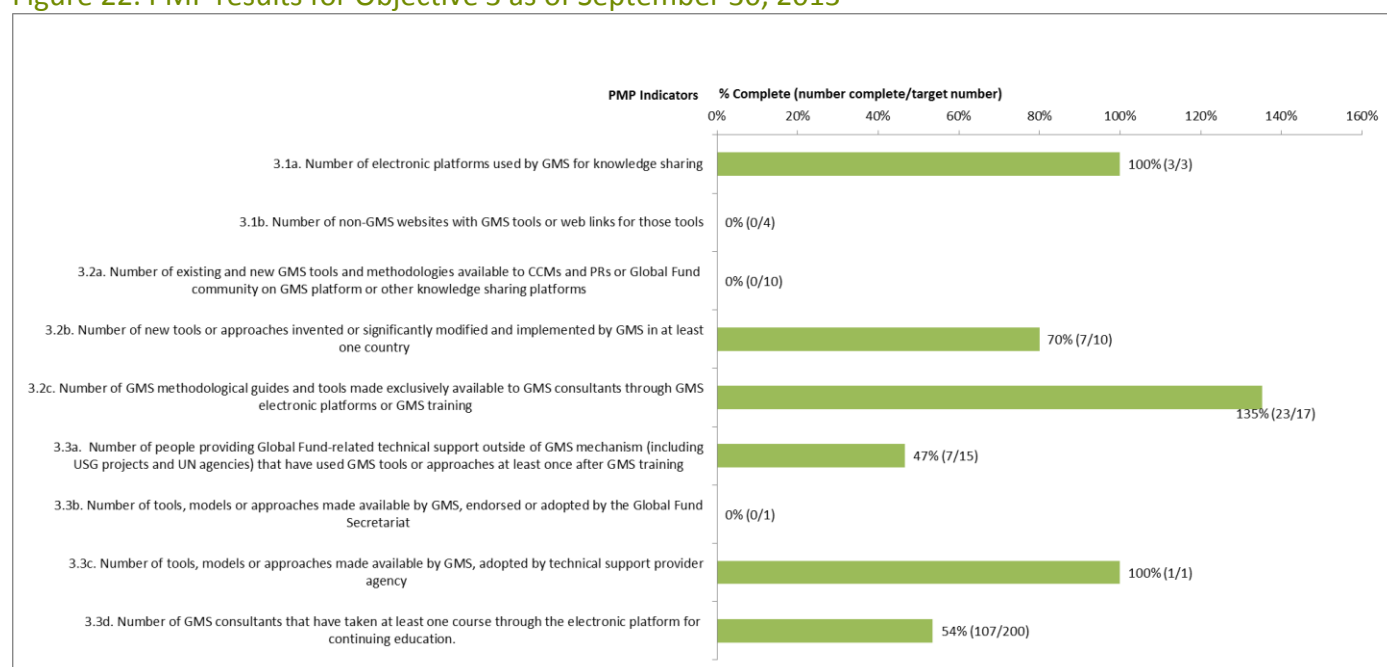
4.5. Updating GMS toolkit items

Over time and on an ongoing basis, experience and changes in policies and practices coming from the Global Fund may imply that changes or updates be made to tools that have been published. In addition, the goal of GMS is to have all toolkit items available in English, French, and Spanish and, as may be required on a case-by-case basis, in other languages. A number of these tools were translated into French and Spanish during Year 1, and translation continues of remaining tools; in any event, any tool that was required in any language in PY1 was provided in that language timely.

4.6. Dissemination of toolkit brochures and toolkit items

Brochures describing the contents and use of all toolkits can be read on or downloaded from the GMS website by the general public. The toolkit items are available to GMS staff and team leaders through the extranet, through team assignments, and through training.

Figure 22. PMP results for Objective 3 as of September 30, 2013



PART 4: Project Coordination and Cross-Cutting Activities

1. Introduction: streamlining operations support

The second phase of GMS builds on the procedures and coordination activities of GMS1 to provide streamlined operations across the three objectives. Wherever possible, GMS has integrated operational systems to address the new challenges of this larger project.

1.1. The rapid launch process

After the six-month hiatus in new technical activities during GMS1 close-out, the rapid launch of the second phase of GMS was essential. Following contract signature on September 30, fourteen of the seventeen GMS1 staff transitioned to the new project and six new staff joined the team immediately. GMS organized a contract reading with US-based partners on October 12 and team-building activities for staff in half-days from 22 to 26 October. The official project launch for all US-based partners and the six Tier 2 partners, originally scheduled for October 30 to November 1, was pushed to November 1 to 3 (including a Saturday) due to Hurricane Sandy. The launch was immediately followed by the Objective 2 launch with all Tier 1 and Tier 2 Wave 1 partners from November 5 to 9.

1.2. Staffing

To staff the three objectives of the new project, GMS expanded the staff from two teams (urgent technical support and operational support) to four teams, each headed by a deputy director.¹⁰ The staff was expanded from seventeen (three of whom were stationed away from the Arlington office) to thirty (with two stationed elsewhere). Eight of these positions are filled by GMS partner employees stationed full time at the GMS office. By the end of January 2013 (PY1 month 4), all but three of the positions were filled, including those requiring visas and international relocation.

During PY1, four staff departed; two of these vacancies were filled through open recruitment, while two were vacant at the end of the year. One additional position, business analyst, was added to the Objective 3 team, while the half-time position in Objective 2 has been expanded to full time and the incumbent transferred, leaving vacant the half-time position of CCM francophone technical specialist. At the end of PY1, there are a total of 31.5 positions. (Please see annex 4 for the organization chart.)

1.3. Updating the GMS standard operating procedures

During GMS1, standard operating procedures (SOPs) were developed for all aspects of urgent technical support and consultant orientation events. These SOPs significantly accelerated the travel and financial management actions of the project, making rapid deployment of teams possible. In the first year of the new GMS, these SOPs have been updated according to new AIDAR and FAR modifications and expanded to cover the different requirements of field support assignments. Additional SOPs have been developed to cover new activities for Objectives 2 and 3. Staff training emphasizes mastery of the GMS SOPs.

¹⁰ The deputy directors of operations support, technical support, and capacity building are key personnel. The deputy director of results and knowledge management is additional.

2. The GMS IMS as a streamlining innovation

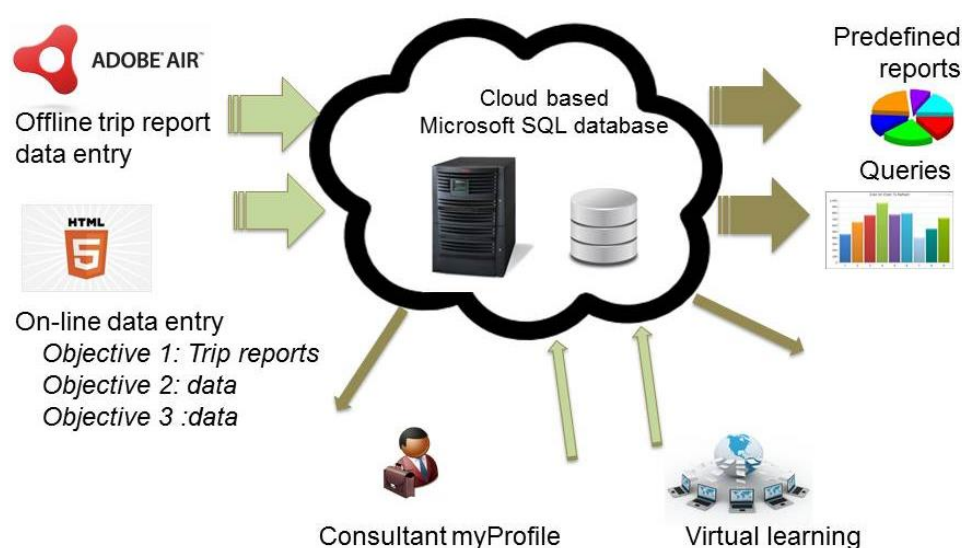
2.1. Design of the GMS IMS

The notion of an information management system (IMS) that would link assignment reporting to project reporting, consultant rosters to consultant performance monitoring, and training to electronic platforms was a core concept of the GMS second phase proposal.

Start-up of GMS IMS design was a critical objective of PY1. The IMS is being developed to address multiple functions including meeting GMS's contractual requirement to submit trip reports to USAID within ten business days after each trip; selecting consultants for GMS assignments; reporting on GMS's performance monitoring plan; tracking creation and use of GMS tools; monitoring regional partner activities; and updating GMS consultant knowledge and skills. During PY1, GMS completed the first critical design priority, the trip reporting system to produce reports for each trip of a technical support assignments and provide data for project reporting.

The IMS will be primarily used by GMS staff, and some parts of it will be accessible to GMS consultants and designated USAID staff. The system is cloud-based (through a subscription with Amazon Cloud Services), has a central server, and stores data in a structured query language (or SQL) database. When the system is completed, it will house eight mini-databases or modules, which correspond to the following categories of data: trip reports; Global Fund data; client satisfaction surveys; consultant data; training data; trainees roster; tools developed by GMS; and regional partners.

Figure 23. GMS integrated information management system (GMS-IMS)



Development of the trip reporting system was extremely rapid and occurred in two phases. The first phase involved creating a temporary Excel-based system by December 2012 so that the first GMS assignments could begin reporting. This system was in place and operational by January 2013.

The second phase was the creation of a semi-automated web-based system with an option for offline report completion with subsequent uploading to the IMS once an internet connection is available. The online trip reporting system became operational in August 2013 and replaces the first system.

Both phases began with gathering data and functional requirements from stakeholders (who included USAID, GMS consultants and GMS staff) followed by system development following the Agile methodology, which involves starting to use the system while its development is still underway.

2.2. Challenges of the GMS IMS

Box 11 . Creating the GMS IMS: a successful collaboration with Futures

The rapid progress in developing the GMS-IMS has been possible by collaboration between GMS and The Futures Group Center for Development Informatics. Established through a sub-contract signed at the start of the project, this collaboration has provided business analysis, software development, and management information system and project management expertise through staff provided by Futures. These staff include a senior management informational systems advisor, two business analysts, six programmers (based in South Africa) and a tester. Having the senior management informational systems advisor integrated into the GMS team in Arlington and coordinating with other GMS staff on a daily basis has contributed to efficiency and, therefore, productivity of the entire development team, while the location of some team member in South Africa has contained

The trip reporting system has made it possible for GMS to meet its contractual obligation to report to USAID, which has stated its satisfaction with GMS's reporting. In addition, this system generates information on almost half of GMS's performance monitoring plan indicators, whose progress GMS reports to USAID every month.

Nevertheless, the system, like any IMS, is not without its challenges for GMS staff and consultants. Use of the trip reporting system requires training, which is currently provided through Skype to team leaders and consultants by the Objective 3 program

officer before and during assignments. Small "bugs" continue to be identified and fixed by the Futures team. Dropdown menus in the system are currently available in English only, although free text can be written in most other languages; accommodation for data entry in French and Spanish will be programmed in PY2.

The system presents several editing and archiving challenges which do not affect the production of reports; GMS will address these issues during PY2.

3. GMS Communications

3.1. External communications systems for GMS

While external communications are often understood to be means for an entity to engage with the “public,” however that is defined, GMS strictly adheres to the no media and no marketing policies under its contract. In this context, do external communications for GMS matter?

Answer: yes.

As a publicly funded project, GMS also has a contractual—even a civic—duty to turn up on a list of search engine lists. GMS’s website does that, and, indeed, GMS has made and continuously makes efforts to turn up on the top of such lists. At www.gmsproject.org, anyone with a computer and access to the internet—the general public, consultants, CCMs, PRs, USAID missions, students...—can learn what GMS does, who funds it, who staffs it, what toolkits it produces, who its partners are, how to apply to become a consultant; read its annual reports and toolkit brochures; download a form to request technical support from GMS. The website aims to reflect and advance its three objectives through transparency and sharing of knowledge.

Where contractual obligations require GMS to limit its transparency and sharing of knowledge to certain audiences, the GMS extranet fills the gap between public and private. There, defined groups of users can get a wider variety of information than it can on the website. This information includes the following: where and when consultants are working on assignments with Global Fund beneficiaries, basic information about all current assignments, various documents related to an assignment (technical support request, USG approval, scope of work for the assignment) what GMS has been doing each month (monthly reports), what it has done and is doing on current and completed assignments (trip reports), toolkit items in various languages (only brochures are on the GMS website), communications guidelines.

3.2. GMS’s communications policy and procedures

GMS publishes and updates as required a document entitled *Communications Guidance and Protocols for GMS Consultants* and makes copies of it available to all staff, partners, and consultants at specific times—during boot camps, on USB sticks all participants receive; when assignments begin, in consultant assignment terms of reference—and at all times on the GMS g: drive and on its extranet. *Communications Guidelines* spells out the branding and marking rules (see also section 3.3 below) and basic rules about protocol and identity (consultants on GMS assignments are working for GMS, not their contracting entity). The communications function takes reasonable steps to review all materials produced under GMS for compliance with the communications guidelines and to ensure any deviations are rectified and awareness of the guidelines is maintained.

3.3. Training consultants on communications policy

During GMS’s second boot camp in June, some content was presented in “kiosk sessions,” as mentioned above. One such kiosk introduced would-be GMS consultants to GMS’s no marketing and no media policies (No M2), and to GMS’s branding and marking guidelines and its practice of following the Golden Rule.

Using one-on-one, small group and large group formats and several delivery styles—dramatization, individual inquiry, discussion, action, question and answer—the kiosk was designed to catch people off guard, engage the mind, appeal to various learning styles, and, ultimately, help people remember a few important rules.

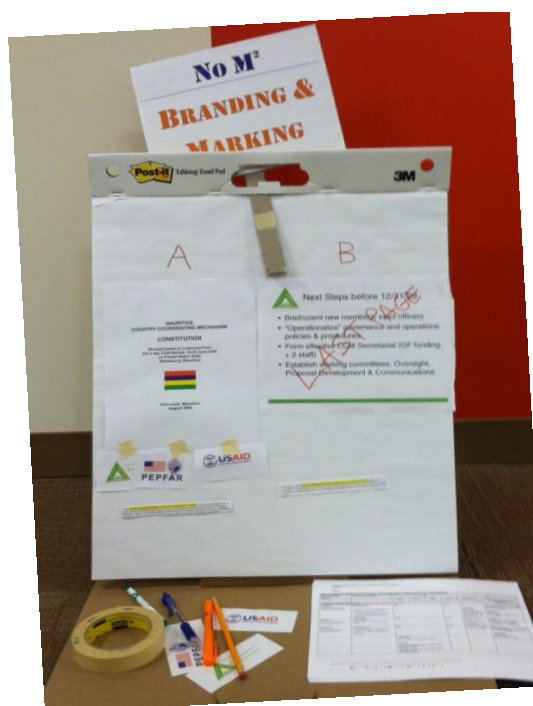
Box 12. No media, no marketing, branding, marking and the Golden Rule

The section on no media and no marketing (or “No M²”), also depicted in the standing display (suitable for one-on-one format), was presented in full-group format to the group as a dramatization. A camera-laden journalist (MSH staffer/actor) and a hawker of GMS wares (MSH staffer/actor) snapped shots of participants and pushed GMS goods and services. The participants, finding themselves unwittingly in the position of CCM members, PRs or GMS consultants, fell into step or were caught unawares, depending on which they may have unthinkingly violated GMS’s no marketing policy by hawking GMS services and toolkit items to other participants or upheld GMS’s no media policy by shielding themselves from the lens. The dramatization aimed to heighten emotions and thereby increase the likelihood that participants would remember the *scenes and the message the scenes delivered*.



The standing display board conveyed the concept of branding and marking with images and limited text that participants could view on their own or discuss with others on their own. In addition, for different people the display could serve different functions: a preface to the session for those who came early, a review for those who looked at it at the end.

The small-group exercise was set up at four tables for 3-4 participants. Each table had a copy of the GMS communications guidelines for branding and marking, a table-top easel with two examples of documents (A and B in the illustration): one correctly branded and one not, reproductions of the brand marks of GMS, PEPFAR, USAID and the Global Fund. The facilitator explained how to read the guidelines (by type of document and required or disallowed branding) and asked participants to work in groups to identify the correct/incorrect documents, and to match brand marks to documents following the guidelines.



In the full group, members of each small group then explained to the others their choices and how they determined what corrections to make. A question-and-answer period led to lively discussion among participants and facilitators.

At the end of each kiosk session, the completed pages from the table-top kiosks were hung up as wall decorations, effectively adding to the stand-up display.

4. Collaboration with the Global Fund Secretariat

GMS is privileged to contribute as a technical support partner to discussions of new Global Fund initiatives including the NFM. Aside from the ongoing collaboration with the Global Fund Secretariat for development of the *PR Management Dashboard* as described in part three, section 3.4 above, GMS was invited to contribute to discussion in three technical areas this year.

4.1. GMS team consultations at the Global Fund Secretariat

As part of its launch activities, GMS staff carried out two visits to the Global Fund Secretariat in PY1. The GMS Objective 1 technical team and the project director visited the Global Fund Secretariat in Geneva from November 12 to 16 with the then current COR, Emily Hughes. The team met with regional and portfolio managers and staff from the Global Fund country team and with representatives of the Board Support, Private Sector Partnerships, grant making teams and the CCM, VPP, procurement, finance, and LFA hubs within Country Support. With the COR, the GMS Project Director also met with TB Team, Roll Back Malaria and UNAIDS TSF management team to discuss coordination of efforts. Of particular importance were discussions to clarify the possible role of GMS in support to the NFM.

In early June, the project director led a second delegation to Geneva of Objective 2 and 3 technical staff and new Objective 1 staff accompanied by the new COR, Ms. Rushton. This visit included work sessions on the PR dashboard and on consultant certification, as well as review of technical support assignments and country needs. Of particular interest were work sessions on the grant-making phase of the NFM as described below.

4.2. Technical support needs for the NFM

GMS has contributed as a technical support stakeholder to consultations about implementation of the NFM since mid-2012. During the first year of this phase, GMS has provided input to Global Fund Secretariat staff in the following areas:

- Technical support needs for the Grant making phase of the NFM. GMS provided detailed lists of the technical support activities it provided for the “presignature negotiations” phase of earlier grants, leading to earlier implementation and fewer conditions precedent. These illustrative lists with associated types of consultants and levels of effort may be used to clarify the range of activities to be carried out in grant making.
- Risk monitoring for the financing experiments under the early applicants round of the NFM. At the request of the Risk Department of the Secretariat, GMS provided inputs to plans for monitoring various kinds of risk at the CCM, PR and SR levels.
- Throughout the year, GMS CCM Technical Manager Iryna Reshevska provided inputs to the CCM Hub of the Secretariat for development of CCM minimum standards and an updated CCM performance assessment framework. The Global Fund has introduced CCM minimum standards and a performance assessment tool. These advances will help CCMs identify their eligibility status and functional needs annually so that they may address them before submission of concept papers, ensuring compliance with CCM eligibility requirements and minimum standards.

5. Collaboration with other Global Fund technical agencies

5.1. PR/SR Guide

During PY1, GMS technical managers were invited to collaborate with other technical agencies to strengthen the technical guidance available to implementing countries and organizations. GIZ provided support to AIDSPAN to develop a number of guideline documents which were in turn commissioned through the South Asia hub of the Alliance. Specifically, guidelines were drafted for SR management and for CCMs.

As part of the SR management guideline development process, a small group of peer reviewers, including GMS Technical Manager for PR Management, Graeme Kerridge, met to complete the draft guideline and provide a detailed outline of content for incomplete sections. The workshop was held in Bangkok from March 25 to 27, 2013.

5.2. CCM governance guide

From September 14 to 20, 2013, GMS CCM Technical Manager Iryna Reshevskaya, participated in a three-day peer review meeting in Bangkok on the new edition of the AIDSPAN *CCM Governance Guide*, also arranged by the South Asia Hub of the Alliance. Representatives from CCMs and CCM secretariats, donors and technical support providers conducted a review of the draft document, agreeing on its outline and major content aspects. The group emphasized the focus of the document as a how-to guide that should be instrumental in implementing the Global Fund eligibility requirements and minimum standards to ensure funding under the NFM, as well as effective performance of CCMs as multisectoral bodies operating on the principles of good governance.

5.3. UNAIDS Technical Support Consultation

From July 18 to 19, GMS Project Director Catherine Severo represented the project at the annual meeting of technical support providers for HIV/AIDS and client countries. Representatives of USAID, OGAC, and the Global Fund Secretariat were present. Ms. Severo proposed development of a common results framework or logic model and standards of quality for Global Fund related technical support.

CONCLUSION: A RAPID AND SUCCESSFUL LAUNCH

GMS has completed a rapid and successful launch of its second phase of activity. Building on the effective practices of GMS1 for urgent technical support, GMS expanded its team and its procedures to scale up from one to three project objectives. Through development of the first component of the GMS IMS, GMS solved a major challenge of GMS1, timely and brief trip reports. By continuing to question its own strategies, GMS has moved from compliance-oriented static strengthening approaches to blended learning techniques and strategic business support.

This expanded mission will allow GMS to go beyond delivery of quality short-term assignments to providing leadership for high quality technical support. In the Global Fund environment of performance-based funding, it seems appropriate that technical support providers should also be held to performance targets and provide evidence of results and impact. By defining criteria for competency and quality for regional entities and individual consultants, GMS begins to promote consensus for standards of performance in technical support.

ANNEX 1. LIST OF ASSIGNMENTS IN PY 1

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Date of Approval	Assignment Number	Country	Technical Theme
2012-10	001LA	Laos	CCM
2012-11	003KG	Kyrgyzstan	CCM
2012-11	002TZ	Zanzibar	CCM
2012-12	004NE	Niger	Pre-Signature
2013-01	007GT	Guatemala	CCM
2013-01	005MY	Malaysia	PR Mgt
2013-01	008NI	Nicaragua	M&E
2013-01	801TZ	Tanzania	PR Mgt
2013-01	006TL	Timor-Leste	CCM
2013-02	010CF	CAR	PR Mgt
2013-02	011CF	CAR	M&E
2013-02	012GT	Guatemala	PR Mgt
2013-02	014GN	Guinea	Consolidation
2013-02	015GY	Guyana	CCM
2013-02	009SB	Solomon Islands	CCM
2013-02	013TN	Tunisia	CCM
2013-03	016BJ	Benin	CCM
2013-03	018BA	Bosnia & Herzegovina	CCM
2013-03	017HT	Haiti	Dashboard
2013-04	803SC	Central Asia Republics	CCM
2013-04	804CD	DRC	Dashboard
2013-04	020MR	Mauritania	CCM
2013-04	21MA	Morocco	CCM
2013-04	802TZ	Tanzania	CCM
2013-04	019OP	Western Pacific (Fiji)	NFM
2013-05	022LS	Lesotho	PR Mgt
2013-05	023ML	Mali	CCM
2013-05	805ZM	Zambia	CCM
2013-06	024PG	Papua New Guinea	PR Mgt
2013-07	029CM	Cameroon	PSM
2013-07	026MA	Morocco	PSM
2013-07	028SN	Senegal	PR Mgt

Date of Approval	Assignment Number	Country	Technical Theme
2013-07	027ZA	South Africa	Dashboard
2013-07	025UG	Uganda	PR Mgt
2013-07	806TZ	Zanzibar	CCM
2013-08	301FM	Africa Delegations	Board
2013-08	031BD	Bangladesh	CCM
2013-08	807DO	Dominican Republic	CCM
2013-08	030SD	South Sudan	CCM
2013-09	032TD	Chad	CCM
2013-09	033SV	El Salvador	PR Mgt
2013-09	034SZ	Swaziland	CCM

ANNEX 2. LIST OF TOOLS AND BEST PRACTICES COMPLETED OR UPDATED

The list of tools, and the languages in which any given tool is available, is developing on an ongoing basis. All tools are available in English and most in English, French and Spanish; by the end of PY2 all tools will be available in all three of these languages, and some in Arabic or Russian as well. All tools are available in soft, electronic, copies; most can be printed on paper; some are available in soft copy only in video or other electronic format.

Tools are classified below by technical area, and each tool has a unique number and title to identify it.

Tool Package Name	#	Name	Type
Diagnostic Toolkit	1.1	Functional Analysis	Methodological Guide
	1.2.	CCM Composition Checklist	Methodological Guide
	1.5.1	Interviews: CCM Interviews	Methodological Guide
	1.5.2	Interviews: Non-CCM Interviews	Methodological Guide
	1.3	Archival Analysis:	Methodological Guide
	1.4	Conflict-of-Interest At-a-Glance Tool	Diagnostic Tool
	1.6	Rapid Assessment of CCM Oversight	Diagnostic Tool
	1.7	CCM Diagnostic Toolkit Brochure	Other
Strengthening CCM Oversight Capacity	2.1	CCM Oversight Plan	Model Document
	2.2	Work plan Calendar	Template
	2.4	TORs for CCM Oversight Bodies	Model Document
	2.5	Roles of Constituencies in Oversight	Other
	1.6	Rapid Assessment of CCM Oversight Capacity_V2	Diagnostic Tool
	2.7	Site Visit Tools	Model Document
	2.8	Basic Oversight Package Brochure	Other
Conflict of Interest Package	3.1	Model Conflict-of-Interest Policy	Model Document
	3.2	Resolving COI	Methodological Guide
	1.4	Conflict-of-Interest At-a-Glance Tool	Diagnostic Tool
	3.3	COI Brochure	Other
Membership Renewal Toolkit	4.1	Generic Roadmap on CCM Membership Renewal	Methodological Guide
	4.2	Civil Society Mobilization Guide for CCMs	Methodological Guide
	4.3	CCM Elections Protocol	Methodological Guide
	4.4	Member Selection Handout	Facilitation Guide
	4.5	Membership Renewal Toolkit Brochure	Other
Strengthening Basic CCM Functioning	5.2	Meeting Procedures Guide	Facilitation Guide
	5.3	Formal Mandate and Legal Structures of CCMs: Options and Process	Methodological Guide
	5.6	CCM Funding Application Form	Model Document
	5.7	Basic Functioning Brochure	Other

Tool Package Name	#	Name	Type
Strengthening Secretariats Package	6.3	Secretariat Terms of Reference: Options for Small, Medium, and Large secretariats	Model Document
	6.4	Strengthening Secretariats Brochure	Other
Strengthening CCM Communi-cations	7.1	Generic Communications Policy	Template
	7.1a	Sample Document: Communications Policy and Communications Activity Plan – Azerbaijan	Model Document
	7.1b	Sample Document: Communications Policy and Communications Activity Plan – South Sudan	Model Document
	7.2	Communications technical note	Methodological Guide
	7.3	Communications Brochure	Other
MESST	9.1	MESST Toolkit	Methodological Guide
	9	MESST Brochure	Other
RDQA	10a	Routine Data Quality Assurance	Methodological Guide
	10.1	RDQA Brochure	Other
SR M&E Capacity Assessment	12.1	SR M&E Capacity Assessment	Facilitation Guide
	12.3	SR M&E Capacity Assessment Brochure	Other
Financial Management Package	13.1	Budget Efficiency Analysis Checklist	Methodological Guide
	13.2	Funds Flow Analysis	Methodological Guide
	13.3	Guidance Note to Recruit Fiduciary Agents	Methodological Guide
	13.4	Tender review process documents for recruiting Fiduciary Agents - sample	Model document
	13.5a	Financial Manual - Sample Document (Cambodia)	Model Document
	13.5b	Financial Manual - Sample Document (Mozambique)	Model Document
	13.5c	Financial Manual - Sample Document (Pakistan)	Model Document
	13.7	Financial Package Brochure	Other
Stand-alone	14.1	Rapid functional analysis of PR	Diagnostic Tool
		Rapid Analysis of PR Brochure	Other
Grant Management Package	15.1	Guidelines: Operational and Procedures Manuals for Grant Recipients	Methodological Guide
	15.2a	Grant Operations Manuals - Sample (Fiji)	Model Document
	15.2b	Grant Operations Manuals - Sample (Mauritius)	Model Document
	15.2c	Grant Operations Manuals - Sample (India)	Model Document

Tool Package Name	#	Name	Type
	15.3a	SR Management Manuals - Sample (Namibia)	Model Document
	15.4a	Human Resources Job Descriptions Manual - Sample (Mexico)	Model Document
	15.4b	Human Resources Job Descriptions Manual - Sample (Uganda)	Model Document
	15.5	Grant Management Brochure	Other
PSM Assessment Tools	16.1a	Rapid Assessment of Procurement Capacities (short)	Diagnostic Tool
	16.1b	Rapid Assessment of Procurement Capacities (short)	Diagnostic Tool
	16.3a	Guideline for self-assessment of supply system-Spanish	Methodological Guide
	16.3b	Guideline for self-assessment of supply system-English	Methodological Guide
	16.5	Assessment Tools Brochure	Other
Quality Assurance Package	17.1	Guide for Consultants and PRs on Global Fund Quality Assurance Policies	Other
	17.2	QA Plan- Sample	Other
	19.1a	Tender For selecting a Quality Control Laboratory	Model Document
	19.1b	Tender For Selecting a Quality Control Laboratory	Model Document
	17.3	QA Brochure	Other
Strengthening PSM Functioning within PRs	18.1	Manual of Procedures for PSM	Model Document
	18.2	Manual of SOPs - Nepal	Model Document
	18.5	PSM Functioning Brochure	Other
Strengthening PSM Processes	19.2	Coordination of PSM Stakeholders In-Country	Methodological Guide
	19.3	Guidelines for PRs to develop procurement policies	Model Document
	19.3b	Model SOPs for procurement processes - Nepal	Model Document
	18.4	Guide for Technical Support Providers in Human Resource Planning for PSM	Methodological Guide
	19.5	Coordination of PSM Stakeholders In-Country	Methodological Guide
	19.4	Strengthening PSM Processes Brochure	Other
Quantification		Guideline for Quantification of Condoms: Checklist, Work Plan, Roles, Time Line	Methodological Guide
		Guideline for Quantification of Condoms: Checklist, Work Plan, Roles, Time Line	Methodological Guide
		SOPs for Forecasting	Model document
		Quantification of Health Products	Other

Tool Package Name	#	Name	Type
Storage and Distribution	16.4	Assessment of Storage Facilities	Diagnostic Tool
	18.3	Guide for Technical Support Providers on Distribution Planning	Methodological Guide
	18.3b	Model SOPs for Distribution	
	25.1	Model Distribution Plan	
	25.3	Model SOPs for Inventory Management	
	25.2	Storage and Distribution Package Brochure	Other
Grant Dashboards for CCM Oversight	22.12	Rapid Assessment of PR Monitoring and Reporting Capacity Tool	Diagnostic Tool
	22.2	Carrying Out Oversight Using Dashboards	Methodological Guide
	22.5	Videos explaining Dashboards	Facilitation Guide
	1.6	Rapid Assessment of CCM Oversight Capacity	Diagnostic Tool
	22.4	Grant Dashboards for CCM Oversight Brochure	Other
Consolidation	23.1	Consolidation Checklist	Methodological Guide
	23.2	Consolidation Guidelines	Facilitation Guide
	23.3	Consolidation - M&E "Logical Framework" Example	Model Document
	23.3b	Consolidation - M&E "Logical Framework" Template	Template
	23.4	Technical Note on Modification of the SSF Performance Framework Template	Model Document
	23.5	Role of CCMs in the Signature of New and Consolidated Grants	Methodological Guide
	23.6	Consolidation Brochure	Other
Presignature	24.1	Presignature Checklist	Methodological Guide
	24.2	Presignature Guidelines Presentation	
	23.5	Role of CCMs in the Signature of New and Consolidated Grants	Methodological Guide
		Presignature Brochure	Other
	24.4	Presignature Brochure	

ANNEX 3. LIST OF KEY GMS DOCUMENTS

Description	Title
GMS 2-pager (English, French, Spanish)	Grant Management Solutions
Consultant certification 2-pager and policy	The GMS Consultant Certification Program
Consultant certification 4-pager <i>GMS Consultant Certification</i>	What Every Consultant Needs to Know
Client Satisfaction Survey Template (English, French, Spanish)	
Satisfaction Survey Facts Sheet (English, French, Spanish)	Client Satisfaction Survey
Communications Guidance (English)	Communications Guidance and Protocols for GMS Consultants
Multilingual Glossary	
Technical Support Request forms (English, French, Russian Spanish)	
Technical Support Guidelines (Arabic, English, French, Russian, Spanish)	

ANNEX 4. ORGANIZATION CHART

